

*Carnegie Corporation
of New York*



Annual Report 1983



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The cover design representing Pegasus, the mythological winged horse of inspiration, was adapted from the Corporation's seal, designed in 1927 by the American sculptor Paul Manship.

Annual Report 1983

for the fiscal year ended September 30

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****Appointed February 27, 1984.

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*The Report
of the President*

The context for Carnegie Corporation's new grant programs

When Andrew Carnegie gave the Corporation its broad charter in 1911, he set a tone of receptivity to new information and ideas and sensitivity to changing circumstances. In this spirit the foundation has in the past year undertaken an institutional renewal leading to the development of four new grant programs. The programs reflect fundamental continuity in values as well as substantial change. Their objectives are to foster conditions under which young people everywhere may get a decent start in life, to deepen understanding of the rapidly changing world we live in, and to advance the cause of peaceful international relations.

The December 1983 board meeting marked the end of my first year as president of Carnegie Corporation. In that year it was my privilege to consider, with colleagues on the staff and board and with diverse consultants, the problems of human societies and the role that our foundation might play in helping to cope with them. We set out to examine several problems in depth, with a view toward formulating policies and programs that would attain the conjunction of enduring values and new approaches. Initially, we tried to gain some distance and perspective on critical issues. It is almost as if we went off to the moon and looked back at the earth to see the hot spots on its surface. Having identified several hot spots, we then tried to map the terrain of each.

Four of these "terrain maps" were presented to the board of trustees in preparation for meetings in the fall of 1983 and became the basis upon which the trustees approved staff recommendations to modify and enlarge the foundation's scope of activities. Happily, this outlook has been facilitated by sharp improvement in our asset values, allowing us to budget about \$20 million for grants in fiscal 1984, approximately \$7 million more than we had in 1983.

In brief, the board has agreed that the foundation's programs henceforth will be pursued under four rubrics: first, the avoidance of nuclear war; second, the edu-

cation of all Americans, especially youth, for a scientifically and technologically based economy and society; third, prevention of damage to children and young adolescents; fourth, better understanding of how to strengthen human resources in developing countries.

One of the most remarkable features of a private foundation is its freedom and flexibility to respond to important issues and to address problems the consequences of which can be only dimly perceived on the horizon. The need for us to take the long view has never been more evident. We live in an era of rapid, far-reaching transformation — and this is a crucial fact. The way we live today is, in many important respects, a complete novelty for our species. Our human ancestors have been separate from the apes for five to ten million years. Agriculture and large settled populations have existed far less than 1 percent of those years. Our technical world has been present for a mere moment in the time scale of evolution.

Much of the technology that structures American lives today in ways that we largely take for granted has come into use only recently. At the turn of the century there were hardly any household telephones or radios, no television, very few automobiles, no motion pictures, no airlines, no computers. Now it is almost impossible to imagine life without the pervasive presence of these things, so much has American society changed with their invention and use.

The opportunities arising from our profoundly enhanced capability in science and technology are visible in every sphere of life — in medicine and public health, agriculture and food supply, transportation and communication, energy and industrial production, the organization of work, and household management. We have rapidly changed not only our technology but also our patterns of work and recreation, diet and activity, human relationships, and social organization.

Many technological innovations are of course exceedingly attractive since they free our species from hardships and dangers and they provide gratifications that were beyond reach for most people in the past. Yet, as we have learned, they can induce considerable disruption. Like a medication whose benefits are clear but whose complications take time to appear, technological advance has brought with it unwanted side effects: weapons of unprecedented destructiveness, extreme population growth in much of the world, drastic urbanization with its crowding of strangers beyond any prior experience, environmental damage, extensive resource depletion beginning to jeopardize some basic life support systems, and new patterns of disease.

Such changes have come so rapidly that human institutions are having great difficulty meeting the challenge. We see the institutional deficits throughout the world in the prevalence of totalitarian governments, in the absence of strong conflict-resolving mechanisms within and among nations, in the shortcomings of educational and other social institutions in preparing young people adequately for the modern world, in the lack of adequate social support systems to help compensate for changes in family structure, and in the waste of talent, vigor, and health by damage in early life that is preventable.

These are among the central issues of our time. To deal with them, people everywhere must understand them better — especially people of our pivotal nation.

The program areas the Corporation has selected for future consideration present some very tough problems and formidable risks but also the possibility of significant gains for the general well-being. The particular approaches and strategies the foundation takes will doubtless undergo continuing evolution and evaluation. The formative concepts are clear, however. They are considered in this essay with full recognition of the limitations of what the Corporation — or for that matter any single institution — can do, but with the hope that the foundation can at least try to clarify the nature and scope of these great problems and engage others in the search for constructive responses.

Avoiding nuclear war

The overriding problem facing humanity today is the possibility of nuclear holocaust. The present moment in history is so decisive for the human future that the Corporation will work vigorously through its grants to increase the chances that good ideas for managing and preventing crises involving the risk of nuclear war will be subjected to constructive critical examination; it will try to engage the ablest and best-informed minds over a wide range of perspectives in generating new options; and it will work to build a broad public understanding of ways in which the risk of nuclear war can be diminished. The foundation will also explore possible contributions of the behavioral sciences to the conduct of negotiations, decision-making, and conflict resolution. Finally, it will look at possibilities for fundamental, long-term change in the relationship between the United States and the Soviet Union.

Mass expression of violence—war, terrorism, genocide—exists throughout the world, and no people should be considered immune to this social disease. But the invention and deployment of nuclear weapons represents a qualitative break in the history of human conflict. The world's stockpile of nuclear weapons is the equivalent of 16 billion tons of TNT—3.5 tons for every person on earth. It is now quite possible to destroy human life. The United States and the Soviet Union each probably have the capacity to do that.

Contemporary power—both for creation and destruction—has rapidly come to dwarf all of history. We have not had the time or the will to develop effective mechanisms to resolve large-scale conflict or to deal with a circumstance in which nuclear weapons may be used. Amid a strife-torn world and growing talk of unimaginable war, these issues must be addressed with all the capability the species can muster. World military costs alone have risen to \$600 billion a year—well over \$1 million a minute. Military spending per soldier averages \$19,300 worldwide, while only \$380 is spent per school-age child for education. In 32 countries, governments spend more for military purposes than for education and health care combined.

The medical and scientific communities have produced compelling projections of the effects of nuclear war. The quantification of deaths, injuries, and other damage that can be confidently predicted firmly underscores the urgency of concern. In his recent book, *Thinking About National Security: Defense and Foreign Policy*

in a *Dangerous World*, former Secretary of Defense Harold Brown points out that, in the first half-hour of a nuclear war, the United States, the Soviet Union, and Europe might each suffer 100 million deaths. From various studies it seems likely that the first few weeks would end in the annihilation of a billion people. There is nothing in our history as a species to prepare us to comprehend the real meaning of such devastation.

These acute casualties in the first weeks would likely be followed by long-term casualties of very great magnitude involving residual and fallout radiation effects, epidemic infection, vulnerability due to lack of food and water, psychiatric disorders, and ecological damage. Although the evidence of destruction is already overwhelming, further evidence accumulates. A new scientific study* indicates that "nuclear winter," a previously undocumented phenomenon, would probably entail a drastic fall in temperature and profound impairment of agriculture in the Northern Hemisphere. Further analysis is needed to determine the extent of damage in the Southern Hemisphere, but it would be formidable. The study's methods and conclusions are now being examined by a distinguished worldwide group of scientists. If the initial findings are found to be essentially correct, one implication would be that even a "successful" first strike without retaliation would be literal suicide for the aggressor.

It is sometimes assumed that the wonders of modern medicine could cope with this situation, but hospitals are concentrated in cities which would be prime targets. The trustees of the American Medical Association have recently put the dilemma well:

Available data reveal that there is not adequate medical response to a nuclear holocaust. In targeted areas, millions would perish outright, including medical and health care personnel. Additional millions would suffer severe injury, including massive burns and exposure to toxic levels of radiation, without benefit of even minimal medical care. Medical and hospital facilities and other resources would likewise have been destroyed.

This scenario is even more terrifying when we realize that, unlike other disasters, even including Hiroshima and Nagasaki, very little outside help could be expected, since the sources of such help would themselves be largely destroyed.

But what about the possibility of a limited nuclear war—one in which the prime targets would be military installations and forces rather than population centers? Most experts agree that there is remarkably little basis for supposing that nuclear war could be limited in this precise way. Studies of wartime decisionmaking highlight vividly the likelihood of unexpected and fearful events — of inadequate information, of unwanted developments, of accidental complications, and of unforeseen circumstances. Even the most skilled, highly professional, well-trained, and disciplined leaders are apt to make mistakes under intense pressure or to encounter circumstances that escalate beyond their control. In any event, an attack aimed solely at military targets would kill tens of millions of civilians. So, nuclear war is *not* simply World War I or World War II writ large; it is far beyond the scale

*Nuclear Winter: Global Consequences of Nuclear Explosions, by R.P. Turco, O.B. Toon, T.P. Ackerman, J.B. Pollack, and Carl Sagan, 1983.

of human experience.

The Soviet Union has inherited from its Czarist predecessors estrangement from and suspicion of other nations as a result of a long history of foreign invasions. The Czarist regimes had a full measure of aggressiveness, ethnocentrism, and prejudice. On this legacy was soon built a new layer of militant antagonism toward non-Communist countries, enshrined in Marxist-Leninist ideology of the early revolutionary period and exacerbated by Western intervention against the revolution following World War I. Later came the Stalinist terror with its severe internal repressions and profound external distrust. These historical experiences and others — the awesome war with the Nazis that caused 20 million Soviet deaths — have led to a modern regime which has exceedingly difficult and unpleasant characteristics: a profound sense of insecurity buffered by relentless aggressiveness; an obsession with borders and border regions; a resurgence of chauvinistic Russian nationalism; ethnic/religious prejudice; and heavy reliance on force or “terror in reserve” in both domestic and foreign relations.

Moreover, the regime fiercely maintains a monopoly of political power within the country and uses its military control over Eastern Europe to insist upon similar regimes there. It uses its power to sow animosity toward the United States whenever the opportunity arises—often in the soil of Third World poverty and frustration.

So there is no reality in the romantic view of the Soviet Union. The U.S.S.R. is a serious problem for us, for many other nations, and not least for its own people. But nuclear war is not a solution to the problem. The Americans and the Soviets need to think anew about what is meant in the modern world by national security. Does more destructive power really enhance security?

One would suppose that nothing could justify fighting a nuclear war, given our knowledge that it consists of homicide and suicide on a scale so unprecedented that it is an authentic evolutionary novelty. Nevertheless, the nuclear powers maintain this capability in order to deter each other from actually using nuclear weapons. Unfortunately, for deterrence to work, the threat to use nuclear weapons must be credible, and the possibility of their being used, real. Prevention of nuclear war, therefore, is rooted in a deterrence system between the superpowers whose rivalries also present one of the main threats of war.

While the capacity for waging large-scale nuclear war is now largely in the hands of the U.S. and the U.S.S.R., other nations also have formidable nuclear capabilities, and the number will grow unless there is a concerted effort to stop the spread.

Given the truly unprecedented dangers — far beyond any previous war — we might think that the possibility of nuclear destruction could be eliminated by agreement to do away with the weapons or by giving them over to some international monopoly. But in this world of sovereign states and bitter conflict, neither option is possible in the foreseeable future. The rivalry, fear, and mistrust between the superpowers translates into a military-technological competition in which the anticipation of what the other could produce, or the perception of what it is already doing, generates a continuing arms race that has a life of its own.

Since the first use of the atomic bomb by the U.S., the history of the arms race, with some notable exceptions, has been one in which the United States makes

technological advances, only to be matched in rough qualitative terms by the Soviets and/or to be exceeded by the Soviets in quantity. Most of the major technological "advances" in this race have ultimately left both sides feeling less secure. Since they were forced to back down in the Cuban missile crisis, the Soviets have made a dramatic effort to build up and modernize their strategic forces, and they have succeeded to such an extent that some political leaders in this country are deeply concerned that we are becoming vulnerable to a first strike or to nuclear intimidation. Our dismay over the build-up, intensified by Soviet aggression in Afghanistan and repression in Poland and by direct pursuit of the rivalry in other countries, has led to a mirror-image American policy of matching the Soviet arms developments and using our technological advantages to undercut these developments. Thus the deadly interplay of the arms race moves ahead with prodigious momentum.

The U.S. and the Soviet Union are now entering a new era of weapons development and deployment in which the strategic balance may become extremely unstable, with the possibility that the decision to launch an attack will be made "on warning" and put into the hands of computers, or decentralized to numerous field commanders, especially in times of crisis. Warning times are being reduced to a few minutes. Moreover, technical advances and political decisions are providing new weapons that are very hard to verify, thus impeding arms-control agreements and worsening suspicion.

The increased U.S.-Soviet hostility, and the imminent and potentially irreversible escalation of the arms race, have awakened a worldwide fear about nuclear war which had lain dormant for almost two decades. Leadership groups on all sides seem to be sobered by the risks ahead. The costs of the race are, furthermore, coming into conflict with a heightened sense of other needs that will be neglected in the face of scarce resources if the spiral is allowed to go on endlessly.

There is a new chance that the contending powers may in fact come to recognize the fundamental point that *nuclear war is the common enemy*. The vivid threat of nuclear war may force the antagonists to moderate their competition and search for ways to reduce drastically the odds that nuclear weapons might actually be used.

What will it take to bring the two nations—so different in so many ways and yet necessarily sharing a shrinking planet—to a steady course in managing conflict and avoiding nuclear war? There are many people working on ideas that center on what is required to cap the arms race, move the structure of forces to a more stable and less threatening state, cut off the spread of nuclear weapons, and achieve these objectives in ways that provide sufficient assurance that neither side can achieve a dominant advantage.

The central feature of the new Corporation program is the mobilization of the best possible intellectual, technical, and moral resources to work on these great problems. There is under way an initial set of major grants for multidisciplinary programs of research, analysis, and education at a few of the nation's strongest universities. The aim here is to increase substantially the capacity of the scientific and scholarly community to analyze international conflict and to illuminate policy

choices that tend to reduce the likelihood of nuclear war. The foundation seeks especially to foster novel conjunctions of effort on a continuing basis involving physical, biological, and behavioral scientists. It is essential to encourage much more sustained interaction among those who know the weaponry and its military uses, those who know the Soviet Union, those who know international relations broadly, those who know the processes of policy formation and implementation, those who understand human behavior under conditions of stress and conflict, and those who have a firm grasp of the ethical dimensions of nuclear conflict.

The analytical studies of university groups and research institutes are likely to be much more useful if they also take into account policymakers' perspectives; policymakers in turn can benefit greatly from ready access to new ideas, a wider range of options, and deeper analysis of the options. For this reason, the Corporation will consider making some "linkage" grants to connect systematically the scientific and scholarly community with the policy community in this field.

Within these broad, multi-purpose grants — and beyond them — the foundation will encourage a few specialized foci of inquiry and innovation. One such focus will be on crisis prevention. Here the Corporation can make a distinctive contribution by supporting scientific and scholarly proposals for various modalities to keep nations a respectful distance from nuclear confrontation.

The penalty for human error in crisis management in the nuclear era is grotesque. The responsibility of high-level decisionmakers therefore transcends any known before. This is a sobering thought in light of the historical record over centuries of crisis management. Inevitably, the characteristics of an international crisis make the decisionmaking process highly stressful for leaders and their advisors. First, an international crisis typically poses a strong threat to major values and interests that high officials are responsible for safeguarding. Second, the crisis often comes as a surprise to policymakers. Even crises that have been anticipated to some extent can have a shock effect insofar as they embody novel features that were not foreseen. Finally, there is the cumulative emotional and physical fatigue that an international crisis imposes on top policymakers and their staffs. While moderate stress often improves performance, severe stress adversely affects a variety of biological and psychological functions and can be especially damaging in its effects on complex cognitive tasks of the kind inherent in high-stakes foreign-policy decisionmaking.

Given the many stringent requirements for managing crises, especially in the nuclear era, it is all the more remarkable that the two superpowers have managed thus far to work their way out of a series of tense diplomatic confrontations since the end of World War II — in Berlin, Cuba, and the Middle East. The fear of a thermonuclear holocaust is undoubtedly the major factor that accounts for this success. Motivated by the spectre that lack of restraint or a miscalculation might set into action uncontrollable escalation, each side has shunned hostile military action against the other's forces. But past success in crisis management offers no guarantee of success in future crises, especially since developments in military technology and the growing complexity of international relations will probably make it more difficult to meet the requirements for crisis management in the future.

Accordingly, it is crucial to ask whether the superpowers, regardless of mutual distrust and competition, can recognize that it is profoundly in their national interests to find ways to move much further back from the brink of ultimate shared disaster. In short, is it possible to develop a regimen for crisis *prevention* that could obviate the need for crisis management? Is cooperation in crisis prevention and the development of norms, rules, and procedures for this purpose possible *independent* of a collaborative overall relationship foreseen at the high point of detente? Can this be done even if the relationship remains strained and highly competitive?

Carnegie Corporation must make a serious effort to enhance public understanding of nuclear war problems in accurate and objective ways. Two topics illustrate potentially useful foci for public education programs underwritten by the foundation: crisis prevention and the health consequences of nuclear war. Here the problems must be faced in their full complexity, facts must be straight, limitations of knowledge must be recognized, and different viewpoints must be respectfully articulated.

For issues of this kind, the foundation should make every effort to foster parallel dissemination of accurate information in the United States and the Soviet Union. It may seem strange, in view of the closed nature of Soviet society, to consider any such possibility at all. But the U.S. scientific and medical communities have some experience in this regard. Useful precedents have been established, and explorations indicate that more might be possible in the future.

Given the immense risks and costs of the nuclear arms race, is it at least conceivable that the basic relations between the two nations might change for the better in the decades ahead? If so, should somebody be thinking about ways to get from here to there and on what basis? At the moment, this is not a subject of widespread active inquiry. The Corporation will make a few grants to explore and delineate long-term possibilities for improving the basic U.S.-Soviet relationship, taking into account their view of us as well as our view of them. To do this in a truly thoughtful and realistic way without romantic illusions will be very difficult. Yet the subject is so important for the human future that it can scarcely be ignored.

Education: science, technology, and the economy

The world transformation fostered by science and technology that has brought us the nuclear dilemma also has profound implications for education. The need to prepare all Americans, but especially youth, to deal constructively with this transformation is thus the main theme of the Corporation's second new program. The program will draw upon established Corporation interests in the education of school-age children, college students, and adults and emphasize the Corporation's commitment to equity for minorities and women. It will place these concerns — and the need for educational reform — in the context of scientific and technological change.

During the past year the nation has experienced a rediscovery of education, and a number of major reports diagnosing the problems have been released. The educational enterprise may have arrived at an historic moment, with opportunities

for reform comparable to the period of the Civil War when the land-grant colleges were established. Public concern for education has always been tied to other ends — national security in the era of Sputnik, social justice in the Johnson Administration. This time the tie is to the scientific and technological needs of a modern economy.

Among the basic educational questions that major social institutions must address in the next decade are these: How can we Americans give all our children, regardless of social background, a good opportunity to participate in the modern technical world, especially in preparation for modern employment opportunities? What constitutes literacy in science and technology that should be a part of everyone's educational heritage? Given the rapidity of sociotechnical change, how can we make lifelong learning a reality so that people can adjust their knowledge and skills to changing circumstances? Since educational institutions will more than ever be preparing people for unpredictable circumstances, how can they prepare for change itself? How can we broaden the spectrum of the sciences to include the full range of the life sciences and behavioral sciences so that modern education will become increasingly informative with respect to human experience? How can the educational system foster a scientific attitude useful in problem-solving throughout the society and in relating scientific principles to the major issues on which an informed citizenry must decide? How, moreover, can we foster a worldwide perspective in an era of profound economic interdependence?

The problems of coping with accelerating change are formidable, but the current momentum toward educational reform suggests a readiness for action. The Corporation will use its resources to assist this process in several ways. Among other efforts, it will support mechanisms to link the science-rich sectors of our society with the science-poor sectors. Opportunities will be sought to connect the scientific talent and skill of universities, corporate laboratories, and national laboratories with the elementary and secondary schools, thereby strengthening national capability for education in the physical, biological, and behavioral sciences.

None of the recent studies of schools has escaped the conclusion that the quality of teachers and their own education are crucial factors in teaching effectiveness. Yet neither pre-service nor in-service training offers adequate preparation for the teaching of science today. There are many facets to this problem as well as pluralistic efforts throughout the nation to address it. Following the Soviet launching of Sputnik in 1957, leading scientists of the nation became active in preparing new curricular materials and in other school improvement efforts. Careful assessment of that post-Sputnik era shows that features of the new science curricula stimulated American interest and achievement in the sciences. Ways must be sought today to build on that experience and to revive the interest of the scientific community in improving education on a sustained and collaborative basis. School teachers in turn must have reason to feel they are an integral part of an extraordinary scientific enterprise if they are to inspire in their students the zest for and sense of adventure in scientific learning.

Improvement in education can flow from the collaboration of classroom teachers with subject-matter experts (in physics, chemistry, or biology) and also with psy-

chologists and other scholars in the field of human learning and cognition. Such collaborations could be a further step in the general direction of incorporating teachers of science into the scientific community. While major efforts must be made to improve the income of teachers and perhaps especially of science and mathematics teachers, it is equally important to support these and other ways in which they can be viewed with genuine respect, their morale strengthened, and their skills enhanced on a continuing basis as science and technology evolve.

A second focus of grantmaking will be the access of minority-group members and women to a high-quality education in science and technology. There is a danger that a national preoccupation with science will widen the gap in achievement between majority and minority students and between boys and girls. If women and minorities are to be part of the economic mainstream and have access to exciting and well-paying careers, they must acquire greater sophistication in mathematics and science.

More black, Hispanic, and female scientists and science-based professionals such as engineers and doctors are needed, as a matter not only of equity but of practical necessity. The nation simply cannot afford to waste talent. In the years immediately ahead the national cohort of young people will be smaller than any in recent decades. By the year 2000, upwards of 30 percent of these young people ages 15 to 24 will be black or Hispanic, the very groups now at the bottom of the educational and economic ladder.

Recently the American Association for the Advancement of Science (AAAS) completed an important study for the National Science Board Commission on Precollege Education in Mathematics, Science, and Technology in an effort to sort out those elements of intervention programs that are most likely to be applicable to school-based education in the years to come.* The study noted that, despite the modest funds available nationwide for special programs in science and mathematics for native Americans, blacks, Mexican Americans, Puerto Ricans, and females generally, a good deal has been learned that may be of continuing use. The AAAS study found that such students can, when offered the proper education, compete favorably and that equity and excellence are compatible goals. Successful programs, the study reported, involve students in the “doing” of science and mathematics and convey a sense of the utility of these subjects; they recognize the deficiencies in performance that many students are likely to demonstrate and stress rigorous preparation in mathematics, science, and communications. The study found additionally that special instruction must begin early and be sustained and that the program elements critical to achievement of minorities and females need to be institutionalized—made part of the educational system.

Interestingly, program models developed to assist educationally disadvantaged youths were found by the AAAS study to be effective in delivering quality instruction to all students. This further reinforces the prospect that thoughtful innovation with responsible assessment can sort out useful elements that may not only upgrade

*“An Assessment of Programs that Facilitate Increased Access and Achievement of Females and Minorities in K-12 Mathematics and Science Education,” in *Educating Americans for the 21st Century*, National Science Foundation, 1983.

opportunities for women and minorities but improve science education for all. Here, as elsewhere, good programs need strong leadership, highly trained and committed teachers, and the support of parents. The AAAS study concluded that the magnitude and complexity of the problems will require a large and continuing effort by the nation to help those who are educationally at risk fulfill their potential.

A Corporation interest that merges with the program on behalf of minorities and women is advancing the effective use of technology in the educational process. With the advent of low-cost, powerful microcomputers, important changes in teaching and learning may be at hand. A fundamental stimulus to educational progress, in which technology plays a large part, arises from recent impressive advances that have been made in knowledge about human learning. (Some of this work is linked to the child development research supported by the Corporation in the past two decades.) The study of learning must take into account questions of cognition, attention, motivation, and social context. It is not feasible for the Corporation to undertake large-scale support of such research, but since research is the most reliable way of advancing knowledge, the foundation must be alert to promising lines of inquiry that relate to education.

One of the most dramatic arenas in which technological advances are under way is in the work place. The pervasive mechanization of work appears now not as a distant prospect but as a powerful current gathering momentum and affecting the entire American economy in far-reaching ways. The trends in information-gathering and information-processing can be seen in virtually every sector of the work place—in agriculture, manufacturing, commerce, office work, and service—driven by international economic competition and by the availability of the technology itself.

Historically, Americans have maintained a very optimistic outlook about such matters. No doubt that has contributed to our leadership in the modern industrial age. However, a growing cadre of serious scholars in several fields is deeply concerned that our state of knowledge about these changes and our readiness to prepare for them is very limited. The technological changes may be associated with substantial benefits but also wrenching social dislocations. Indeed, it appears that as much ingenuity will be required in adaptation to these changes as in the invention of the technologies.

To meet this challenge, broad, multi-faceted analytical work will be required to understand more deeply what is going on and to anticipate insofar as is humanly possible the likely consequences of major technological trends. What are the main lines of technological change now on the horizon? What are the implications for education? How can educational institutions better prepare us to cope with the world of the future? What sort of cooperation is needed among business, labor, education, science, and government to build a more effective economy and a better system of education? What is the factual basis, drawn from many sources, that provides the underpinning for constructive options in the future?

To deal effectively with these real-world policy questions, organizations such as universities, scientific academies, and research institutes can make a greater contribution to this analytic work than they have in the past by organizing effectively

to share information, ideas, and technical abilities widely across traditional barriers and systems. Carnegie Corporation will attempt to foster conditions under which these broadly based competencies can be linked over an extended period of time. A particularly valuable undertaking will be the development of intelligible, credible syntheses of research related to important policy questions.

Toward healthy child development: prevention of damage to children

This program will focus on a set of serious problems that affect young people widely across different sectors of U.S. society but that harm low-income and minority populations disproportionately. A general orientation will be toward preventive intervention—tackling serious problems before they become permanently handicapping. The program will deal with the ages from birth to 15 years, although particular attention will be paid to two periods that are highly formative for development and associated with special vulnerability: the first few years when the new organism is being powerfully shaped toward its life course, and early adolescence, ages 10 to 15, a time of major biological and psychosocial transition characterized by stressful exploration of high-risk behaviors.

Compared to children in developing countries, American children appear supremely advantaged, yet optimal conditions for human development are by no means the birthright of all. While the majority in this country will grow up to be strong and capable, healthy and whole adults, substantial numbers will not survive or will encounter problems along the way that affect their chances of survival or leave their entire lives warped and unfulfilled. Some children are at risk from the very moment of birth, if not before. A combination of biological and social factors—low birthweight, malnutrition, care by a very young, poor, and isolated mother—may make such children quite retarded in their overall development by age two. Many will reach school far behind their contemporaries on a variety of cognitive and social measures. By the end of the third grade they may have failed to master the first steps of reading and mathematics. During adolescence a significant number of young people from all social groups will drop out of school, commit crimes, become pregnant, become mentally ill, abuse drugs or alcohol, attempt suicide, or die from injuries. All these unnecessary casualties added together make up a substantial fraction of the age cohort today. The Corporation will support efforts to understand the difficulties these children face, seek preventive solutions, and interest other institutions of this society in addressing these exceedingly difficult and badly neglected problems.

A great need is to elucidate the changing context in which children are growing up, not only to understand the ways in which external changes may be shaping the problems young people face but because the context needs to be taken into account in working toward solutions.

The dramatic changes the American family has undergone in the past 20 years seem linked to long-term economic and social developments pertaining in all industrialized nations and are unlikely to be reversed. They include the trend toward greater independence and equality for women, resulting in their spending less time

in home and family activities; the demographic trend toward a low or zero population growth rate, with relatively small numbers of children and large numbers of elderly people; higher rates of divorce, separation, and never-married women; and increased geographic mobility and an associated loosening of social bonds with friends and relatives. In addition, there are many pressures upon families today, from inflation and unemployment, with their economic and mental-health consequences for families, to the problems of managing job and home life.

The net effect of such changes on children and families is of course complex. Child development is the product of many influences, and the values held within the family and the availability of social support networks may be more important to healthy growth and development than the particular family structure. Since, in any event, today's more variegated family forms seem likely to persist, the need is to create a stable, dependable, supportive environment for childrearing under these circumstances. More and better child day care, after-school programs, and flexible workplace arrangements are badly needed. These measures are common to most industrialized societies, and we in the United States can learn something from them about adapting social institutions to changing family realities.

American childrearing environments are increasingly technological. Modern technology provides previously unimaginable benefits to American children and families, but its effects are hard to foresee, rarely simple, and often two-edged. Cars, for example, can stimulate a child's curiosity by opening up a wide range of physical and social environments, but they have also emptied out the inner cities of those who can afford to live in the suburbs, have caused exposure to unsafe lead levels for children who live along major roadways, and constitute a major health hazard for children and young people. Automobile accidents account for 25 percent of deaths and a major proportion of disabilities in these age groups. Similarly, computers have enormous educational potential but bring with them the strong possibility of further widening the gap between the resources available to higher-income as compared with lower-income families.

Television has been a source of both fascination and concern since its introduction, and the length of time children spend viewing it has increased with every decade. A growing body of research has confirmed earlier speculation about the role of television in stimulating aggressive behavior and turning children away from reading. While heavy television viewing may not be a serious problem for children with a diverse and supportive out-of-school life, the greatest overuse of television is by children from the lowest-income households. For them it may add yet another element to the arsenal of disadvantages they face. The converse, television's educational potential, which has been demonstrated so vividly in the Corporation-initiated *Sesame Street*, remains largely unfulfilled. In the context of the nation's interest in educational renewal, this frontier should be explored with greater vigor than ever before.

Racial attitudes in this country have clearly undergone a major shift since the civil rights court victories mandated the abolition of many forms of institutionalized prejudice. One result is that the low self-esteem and incorporation of negative stereotypes that black children have experienced historically have begun to be

overcome by new elements of pride. Yet there is a long way to go in diminishing prejudice toward blacks, Hispanics, and others in this nation of minority groups. The psychological processes through which children develop prejudice against groups in the same society are fundamentally similar to those through which they develop prejudice against other nationalities. Prejudice is indeed one of the most ubiquitous and dangerous of all human attributes. It is a relic of our ancient past that we cannot afford in the world of the future.

Given the forces that help to shape children's lives today, how can Carnegie Corporation hope to improve the life chances of children at risk? One way is to build a program around a limited number of very serious problems that affect a significant number of young people and use all the techniques available to a foundation — research and public education, advocacy, the creation of new models — to illuminate and clarify the problems and potential solutions and to stimulate others to respond. The four problems the foundation has selected for attention are: school failure, school-age pregnancy, substance abuse, and childhood injury. In the latter two areas, the Corporation will initiate projects for support rather than solicit proposals.

Literacy in English and numeracy are necessary for most jobs in the economy today and essential to authentic citizenship in a modern, complex society. Yet, despite the considerable progress of low-income and minority students in the past 20 years, both in their access to education and in their achievement, many are still unlikely to meet either the minimal or the higher standards of skills and knowledge that will be demanded in the latter part of the 20th century. The support of monitoring and advocacy efforts to ensure the provision of quality education for low-income students remains an essential for private foundations. There is a need also to test new ideas for the amelioration of two critical problems in which slow progress has been made: school failure in the junior high school and insufficient English-language achievement for the large and growing numbers of Hispanics and immigrants from many parts of the world.

While schools are the only institutions in society with the designated central function of education, it is also clear that many other forces are broadly educative and that the direction of these educative forces can either help or hinder the job of the school. There appear to be ways to create social support systems in low-income neighborhoods that facilitate educational achievement and counter some of the negative factors in that environment. Such efforts can be orchestrated by forward-looking schools and also by churches and other community-based organizations. They might include preschool education/childcare; summer schools; use of minority students and professionals as tutors and role models; after-school study halls and other activities for latchkey children; peer-mediated education about drugs, smoking, and pregnancy; parenting classes for adolescent parents (and other adolescents); and involvement of senior citizens in tutoring and other activities. Some black churches and community organizations already provide elements of such a system.

Children who fail to learn to read, or who are far behind in reading level, are at high risk not only of dropping out of school but of falling victim to a whole range of adolescent problems. Failure to achieve literacy in elementary school may increase

the chances that a young person will overuse alcohol or drugs, and such abuse in turn may sap educational motivation and weaken the ability to study. Similarly, school failure may predispose a girl to early pregnancy, and the child of a young teenager is at high risk of having school-related problems and a host of other difficulties.

Puberty in our society is one of the most far-reaching physiological and psychological upheavals in the life span. For many it also involves drastic changes in the social environment, especially during the transition from elementary to secondary school. At the same time, the psycho-biology of adolescence has changed markedly over the past century. The onset of puberty is earlier by several years — probably because of enhanced nutrition and the control of infectious disease — and the end of adolescence occurs a great deal later now. How can an adolescent know when authentically adult status has been attained or where there is a socially valued role to play in today's milieu?

Americans have become perplexed, troubled, even frightened, by what is happening to their adolescents. The incidence of risk-taking behaviors among 10 to 15 year-olds is rising rapidly. Alcohol and drug abuse and violence obviously can have immediate and life-threatening consequences for an adolescent; poor diet, cigarette smoking, and other health-damaging behaviors such as unprotected sexual activity can have serious consequences in the long term. Surely this phase of life must assume high priority in the ranking of our national concerns.

The pregnancy and childbearing rates of American teenagers are among the highest in the industrialized world. Four out of ten adolescent girls become pregnant, and one in five of all children born today has a teenage mother. Teenagers account for half of all out-of-wedlock births. The pregnancy rate of girls under age 15 is increasing, and the consequences are far more serious for them than for older adolescents. Young adolescent mothers are far more likely to have low-birthweight babies who may die or suffer many serious health and developmental problems. One explanation for this is that pregnancy is not diagnosed early and these girls do not usually receive early or adequate care. Young mothers also tend to drop out of school with few skills to earn a living.

Unfortunately, efforts to prevent or delay childbearing for young adolescents have been limited. The subject matter is highly sensitive in many communities, and the reasons why young adolescents may initiate sexual activities and have babies are complex. The main approaches to the problem thus far have been the provision of contraception and the development of formal family-life education courses. While some people think that the main hope for prevention lies in the expansion of those approaches, others believe that deeper understanding of adolescent behavior is needed. Various ideas seem worth investigation. These include helping girls in low-income neighborhoods — who may see no options other than adolescent motherhood — to develop a clearer sense of alternative futures; exploring the powerful roles of peers and of the media — both negative and positive — in shaping adolescent development; and enhancing the role of parents as sources of their children's education about sexuality. Some schools, minority and youth organizations, and churches have undertaken innovative activities in this area. The

society as a whole needs to learn from their experiences and support opportunities for encouraging responsible reproductive behavior among the young.

Addiction has been called America's number one health problem, and cigarette smoking and alcohol and drug abuse are common features of early adolescence. Because many young people experiment with these substances without obvious harm, there is a tendency to disregard the potential danger. While there have been modest but encouraging reductions in marijuana and cigarette use among young people of all income groups, cocaine use among middle- and upper-income adolescents is spreading, and deaths from heroin among youngsters from lower-income families are increasing. Addiction and substance abuse are found in all social and economic groups, but they exact their most devastating toll in minority communities. In addition to the dangers of addiction per se, substance abuse can contribute to violence and injuries and school failure in young people. Altogether, the personal, social, and economic costs of substance abuse are far greater than Americans had imagined a decade or two ago.

Some kinds of approaches to prevention cut across a number of problems from which adolescents suffer. For example, longitudinal research has demonstrated that the kind of early stimulation provided in preschool education or incorporated into child day-care settings can reduce school failure; there is also some suggestive evidence that it can help to reduce the likelihood of early adolescent pregnancy and drug abuse. Adequate child-care services are important in enabling teenage mothers to complete their education and in providing relief to parents under stress. Once in place, child-care settings can become a site for education about childhood injuries as well as a place where new models of language instruction or of better development of quantitative skills can be tried out. Clearly, high-quality preschool and other child-care programs need to be more widely available. In the early-adolescent age group, it is evident that peer-mediated approaches to encourage achievement and higher aspiration, on the one hand, and to prevent or delay smoking, drug and alcohol abuse, and pregnancy, on the other, may be beneficial.

It is not widely appreciated that the major health hazards for young American children stem not from disease any longer, but from injuries—both accidental and intentional. Injuries account for half of all deaths in children and are a major and increasing source of long-term disability and serious health problems for children and adolescents. The death rate from accidental injury is twice as high for blacks as for whites and twice as high in preschool children as in children of school age. The major unintentional injuries include falls, burns, poisonings, and motor vehicle accidents.

Intentional injuries, or child abuse, have received wider publicity and reporting in recent years. Child neglect and abuse can be physical, sexual, or psychological, and at least 60,000 serious injuries and 2,000 deaths among children are thought to be caused by abuse each year. In addition, abused children can suffer severe psychological or sexual problems later on, and violent behavior toward the next generation is common. Neither intentional nor unintentional injuries have received high priority from the scientific, educational, or health communities, although the health-care system has the primary responsibility for dealing with the results. In

the case of unintentional injuries, this may be because the fatalistic implications of the term “accident” obscure the fact that most of these tragic events are preventable.

The Corporation does not intend to develop a large program of grants in this area. Rather, the initial intention will be to bring about the synthesis of existing knowledge about education, regulatory, and social support approaches to the prevention of various childhood injuries, and then to use this to urge policymakers, the media, health professionals, and others who work with young children to give higher priority to the prevention of unnecessary injury.

Strengthening human resources in developing countries

Much of the world’s population today still cannot take for granted its ability to meet basic needs for food, water, shelter, and other factors essential for survival. Why are there still widely prevalent threats to survival when modern science and technology have made such powerful contributions to human welfare? What can be done to diminish the kind of vulnerability that leads to desperation?

In considering these questions, special attention must be paid to the developing countries—poor and not technically advanced—that contain almost three-quarters of the world’s population. By virtue of modern communications, people in the developing world are well aware of what it is possible to achieve in technically advanced nations and yearn for similar benefits. In some countries, however, population growth rates have risen rapidly, energy and related agricultural costs have increased dramatically, and technical skills are in short supply. Moreover, resources critical to survival and development—land, water, wood, and fisheries—in some regions are dwindling, and the burden of poverty and disease is exceedingly heavy.

Can technically advanced countries do more to strengthen their ties with the developing world and work cooperatively with them toward the reduction of poverty, illiteracy, and ill health? Can a private foundation make a contribution toward these goals? Certainly the Rockefeller and Ford foundations have done so. With their creative work on the “green revolution,” on the great neglected tropical diseases, on nutritional improvement, on population problems, and on economic development, these foundations have set an example that other institutions can well study. So, too, Carnegie Corporation has made contributions in education as an instrument of development, especially in Africa. Foundations can help to alert, inform, and stimulate others throughout the United States and elsewhere to give higher priority to developing-country needs. For the Corporation, this means drawing upon its strong tradition of emphasis on human resources.

Human resources are central to the task of upgrading development opportunities in the future. To strengthen human resources, children and families must have a decent start. This means good health, basic education, families of workable size, and adequate nutrition.

Since the sciences provide perhaps our most powerful problem-solving tool, it is essential that their strengths are brought to bear on ways to meet these requirements. The task requires an intensive effort now to learn what can be extracted

from the efforts of practical value. Carnegie Corporation can bring together unusual conjunctions of talent to deal with these complex issues in human resource development. It can help to involve the American scientific and scholarly community more deeply in these issues than it is now engaged. It can systematically link this community with leadership groups in our own society and in some developing countries. It can support the creation and dissemination of syntheses of current knowledge about human resource questions—both at home and abroad.

One fundamental need of developing countries is enhancement of skill over a wide range of critical issues concerning basic education, health, nutrition education, and family planning. The Corporation is interested in exploring how universities in developing countries can become more useful in building the capacity of countries to tackle problems in their own settings—to help extend basic education more widely, including education for health; to assess what patterns of international cooperation are most useful in fostering basic education and education for health; and to take steps that lead toward building national capabilities in these areas.

A growing body of evidence shows that the education of women and girls is a remarkably promising route for less-developed countries. The need to improve the educational attainment and status of women is an objective of intrinsic value, but it has the added practical value of far-reaching significance in widening their skills and choices as well as in improving health, nutrition, and family planning. It is an investment in future economic growth and well-being even when women do not participate in wage employment. Most girls in developing countries become mothers, and their influence on their children is crucial. Health studies show that the more educated the mothers, the less likely that their children will die, regardless of differences in family income. Education helps delay marriage for women, partly by increasing their chances for employment, and educated women are more likely to know about and use contraceptives.

The program on strengthening human resources in developing countries will therefore emphasize healthy maternal and child development, broadly defined to include basic education, education for nutrition and health, and family planning,—the seamless web of factors that bear heavily on human resource capability and economic development. The program will be organized in two complementary parts. The largest effort will be conducted through U.S.-based institutions. It will emphasize international collaboration in applying science and technology to human resource development, and especially projects that heighten American understanding of human resource issues. The other part of the program will involve on-site activities that make a special contribution in several countries or regions in order to build knowledge based on first-hand experience and to foster long-term collaborative efforts.

The Corporation is planning for the near term to make grants for three kinds of related projects: dialogues between experts and leaders from developing countries and the United States focusing on human development issues overseas; technical and scientific cooperation toward strengthening human resources; and assessment of lessons learned from experience in establishing effective programs and their applicability to other settings.

The dialogues will enable distinguished visitors from developing countries to

meet with colleagues and other scholars and scientists, with leaders from business and government, with the media, and with other interested members of the public in lectures, seminars, workshops, and meetings to clarify promising lines of initiative among peoples of developing nations.

Grants for technical and scientific cooperation will include efforts to strengthen scientific management institutions, such as national research councils; to support seminars on current scientific work of special significance for developing countries; and to support a few field projects aimed at strengthening human resources.

A major objective in development is to apply solutions that have worked on a pilot scale to larger areas. Some grants will be made for studies of programs in which this has been achieved, some for deepening our understanding of obstacles to implementation.

While the perspective in this program will be worldwide, geographic priority will be given to sub-Saharan Africa and the Caribbean. Grants in the United States will also focus on Mexico, the only developing country that shares a border with the U.S. All these regions are intrinsically important, have special meaning for substantial minorities in our nation, and have high significance for U.S. international relations.

The time span for development must be seen without wishful thinking. Significant progress will have to be measured not in years but in decades, and it will not be automatic — far from it. Experience must be wisely assimilated, and in each country or region very good relations will be needed to foster the articulation of technical competence with distinctive cultural traditions. Sensitivity to local conditions and an authentic spirit of collaboration are essential for success in such enterprises.

Some integrative concepts

One crosscutting theme for the new programs is the need to involve the scientific community, broadly conceived, on a wide front in work on problems outlined in the preceding pages. Whether it is toward avoiding nuclear war, strengthening education in the sciences, preventing damage to children, or fostering human resources in developing countries, there is a precious resource in the great scientific community of the United States that can be brought to bear on these crucial problems. Such work calls for persons from a wide range of the sciences and an unusual degree of cooperation among them. Furthermore, it requires linking science-based analytical work with education in a variety of modes.

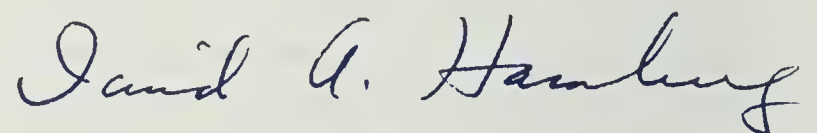
In each of the program areas the Corporation will seek to maximize analytical capability, objectivity, respect for evidence, and the worldwide perspective that are characteristic of the scientific community. Scientists in turn can deepen their contribution to pressing social concerns if they are informed and stimulated by those on the firing line, whether they are engaged in child care, teaching poor children, struggling with policy dilemmas, or coping with community tensions. There is a mutually beneficial interplay between social concerns and basic inquiry.

Several roles that the Corporation can play in all of the new programs are: 1) clarifying and highlighting what has already been done in this country or abroad

with respect to critical issues addressed; 2) going beyond existing accomplishments to show what can be done through support of constructive innovation, models, and demonstrations; 3) focusing the attention of dynamic sectors of American society on critical needs and specific opportunities as they come to light in the program activities; 4) organizing intersectoral leadership activities that promote the cooperation of government, corporate, labor, and scientific and professional strengths in responding to needs.

A final word on education. As modern society has become more complex, the flow of educational content increases from every level of physical, biological, and social organization, from many different disciplines, sectors of society, and parts of the world. The educational experience is no longer concentrated so heavily in home, school, and library; learning occurs in many different settings, prominently through the mass media and peers. Knowledge is deepening about human learning itself and about closely related matters of information-processing, decisionmaking, and communication. These unique human learning capacities were crucial in the evolution of our peculiar species — they got us here. Now they are perhaps more important than ever in adapting us to circumstances that are largely unprecedented in the world we have made. All this adds not only complexity but fascination and deep significance to the tasks of contemporary education.

Carnegie Corporation is almost three-quarters of a century old. It has been guided by fundamental commitments to education, peace, and social justice. The expression of these commitments has deliberately varied over time, in keeping with the foresight of its founder. Now the foundation enters a new era, drawing upon the traditions of the past and looking to the opportunities of the future. Those of us who have the privilege of being associated with this remarkable institution are mindful of the special responsibility that goes with that association. On behalf of the trustees and the staff, I pledge a renewal of dedication to the enduring values so crucial to human survival and well-being.

A handwritten signature in dark ink, reading "David A. Hamburg". The signature is written in a cursive, flowing style.

President

*The Report
on Program*

The list of grants and appropriations

During the year ended September 30, 1983, the trustees approved \$13,293,284 for a total of 85 grants and appropriations, including \$724,845 for the international program. There were 78 grants, including 21 to schools, colleges, and universities, and 57 to other organizations. Appropriations were also made for projects administered by the officers. This year the Corporation made one program-related investment.

The charter of the Corporation provides that all funds are to be used to promote "the advancement and diffusion of knowledge and understanding." Grants must be broadly educational in nature, but they need not be limited to the formal educational system or to educational institutions. The foundation makes it a policy to select a few areas in which to concentrate its grants over a period of years. During 1983, the Corporation undertook a full review of its grant programs under the direction of its new president, David A. Hamburg, who took office in December 1982. The trustees determined to continue the foundation's longstanding support of the development of human resources but decided to place this objective henceforth in the context of world interdependence and scientific and technological change.

The Corporation's new grant programs will focus on four broad goals. The first is avoidance of nuclear war and improvement of relations between the United States and the Soviet Union. The second is the education of all Americans, especially youth, for a scientifically and technologically based society. The third is prevention of damage to children and young teenagers. The fourth is strengthening of human resources in developing countries. For an elaboration of these goals, please refer to the report of the president beginning on page 3.

This was the final year, therefore, in which grants were made under the program rubrics of higher education, elementary and secondary education, early childhood, public affairs, and the international program. Two grants made during 1983 look toward the new grant program entitled avoiding nuclear war and are placed in the other grants section.

The foundation does not operate scholarship, fellowship, or travel grant programs. It does not make grants for basic operating expenses or facilities of schools, colleges, or day-care centers. Nor does it provide general support for social service agencies or fund endowments.

There is no formal procedure for submitting a proposal. All that is necessary for preliminary consideration is a statement describing the aims and methods of the project, the personnel involved, and the amount of financial support required. The officers review all proposals in light of their knowledge of the field and in relation to the Corporation's current priorities. They ask for supplementary information or a personal discussion when either would be helpful in making a judgment.

Higher education

Uses of technology in higher education

Carnegie-Mellon University (CMU)

\$1,060,000

Working together, CMU and IBM Corporation are creating a system of personal computers that will pave the way for information technology to become a significant tool for teaching and learning within higher education. If the project succeeds, within three years CMU students and faculty will have powerful personal computers, linked together and to CMU's central computing facilities, that will serve all of CMU's undergraduate and graduate education and also the continuing education of CMU alumni. Students will, for example, be able to use the system for writing and editing papers, searching the library's catalogs, and doing mathematical computations. The ultimate goal is to enable colleges and universities across the country to use the system and its educational applications. IBM is spending \$20 million to design the hardware. It is providing another \$20 million to CMU for managing the production of the software to operate the network, its text editors, electronic mail, and related components. This three-year grant from the Corporation is funding the development and testing of educational software—the actual educational programs for the system—by a consortium of colleges and universities and other educational organizations involved in supplying computerized services to higher educational institutions. The consortium's activities include identifying existing software that may be adapted to the CMU/IBM system, making grants to faculty members at consortium institutions and elsewhere who are devising new programs, and ensuring widespread dissemination of the software once it becomes available.

Encouraging more effective use of resources

Research Libraries Group (RLG)

\$250,000

RLG is a consortium of 25 research libraries in the country, including those housed at Columbia, Michigan, Pennsylvania, Princeton, Stanford, and Yale universities, Dartmouth College, and the New York Public Library. With assistance from a 1976 Corporation grant, the organization established a computer link between its member libraries and the Library of Congress. An additional grant in 1979 and a program-related investment in 1980 supported RLG's Research Libraries Information Network (RLIN), a computerized system that allows research libraries to work together to collect, preserve, and share bibliographic information. One of RLIN's services is to help member libraries maintain catalogs of their own holdings while also having access to the listings of other participants. As the system grows and improves, it is expected that use of the catalogs will also increase and result in heavier costs to the member institutions if each request for catalog information is processed by the system's central computer. RLG is therefore planning to decentralize the system

so that catalog searches can be accomplished effectively — and less expensively — by individual computers on the local level. This grant is funding the planning phase.

Commission on College Retirement

\$750,000*

The Corporation has been concerned with pensions for college teachers since it funded establishment of Teachers Insurance and Annuity Association (TIAA) in 1917. TIAA, offering fully vested, portable pensions to college staff, has become an important part of the college scene. During the last 10 to 15 years, a number of developments have affected the whole field of retirement planning. These include the impact of inflation on retirees and persons planning for retirement, the rapid rise in Social Security costs and benefits, the change in the mandatory retirement age, the passage of the Employees Retirement Income Security Act (ERISA), and a lessening of the distinctions among different types of financial institutions such as banks, pension funds, and brokerage houses. These changes have led a number of institutions to consider changes in their policies and programs and faculty members to suggest new options for investment and benefits. In order to examine the situation, the Corporation, together with the Ford Foundation, the William and Flora Hewlett Foundation, and the Andrew W. Mellon Foundation, is supporting the establishment of a Commission on College Retirement to examine the changed situation and to develop recommendations for institutions, faculty members, and pension managers for possible changes in policy and practice. Its membership will be drawn from the fields of law, finance, higher education, and the behavioral sciences. The Commission will hold meetings and also sponsor hearings around the country to help ensure that all the issues relating to college retirement plans are addressed.

Consortium for the Advancement of Private Higher Education (CAPHE)

\$300,000*

For the past year, the Corporation has been working with a small group of corporations and foundations to create CAPHE, a national organization concerned with the future of private higher education. Based in Washington, D.C., CAPHE will provide grants and technical assistance to selected private colleges and universities to foster the development and testing of model solutions to major institutional problems. Its activities will be in six key areas: mission and marketing, financial management, new revenue sources, organizational change, staff and faculty development, and educational planning. Michael O'Keefe, former vice president of The Carnegie Foundation for the Advancement of Teaching, has been chosen to be the organization's first president. This appropriation contributed to the costs of establishing CAPHE.

**Program administered by officers of the Corporation.*

Claremont University Center

\$87,000

Growth and change in American higher education during the past 30 years has had a profound effect on the 500,000 men and women who constitute the professoriate. At the Claremont Graduate School, Howard Bowen, Avery Professor of Economics and Education, and his colleague, Jack Schuster, associate professor of education and public policy studies, are using this two-year grant to examine whether colleges and universities are maintaining a qualified professoriate and, if not, what should be done to assure that faculties in the future are equal to their responsibilities. They will make a comprehensive study of current issues affecting faculty members, such as the decline in compensation and working conditions, affirmative action, and tenure policies.

Rutgers University

\$74,800

Although some publicity has been given to the traumatic personal consequences of academic lawsuits, no serious attempt has been made to assess the overall financial, psychological, organizational, and legal effects of job discrimination litigation on the colleges, universities, and individuals involved. George LaNoue, director of the Policy Sciences Graduate Program at the University of Maryland, and Barbara Lee, a lawyer and assistant professor in the Graduate School of Education at Rutgers University, have undertaken case studies of major employment cases that include charges of sex or race discrimination. They are attempting to document the impact of the litigation process on plaintiffs and defendants from the inception of the conflict to the point after its resolution when its overall consequences can be evaluated. Between five and seven of these case studies will be contained in a book which will explore alternatives to litigation. It is expected to be of particular interest to individual women and minority-group members and to college and university administrators.

Council of Independent Colleges (CIC)

\$41,500

CIC, based in Washington, D.C., is a national association representing 270 small, private liberal arts colleges, most of them heavily dependent on tuition to pay their operating costs. In 1982, CIC used a Corporation grant to set up an Office of Strategic Planning Services to assist approximately 120 CIC members in developing new revenue sources, increasing and managing financial aid, improving student recruitment and retention, and meeting other objectives. Support from the Pew Memorial Trust helped 19 additional colleges to participate in the project. Teams of experts drawn from CIC's National Consulting Network conducted specialized workshops, telephone consultations, and on-site visits in order to provide information and technical assistance to institutional representatives. The majority of the colleges identified the creation of marketing plans concentrating on the recruitment of students as the most important issue to be dealt with. This grant allowed the project to continue through the end of 1983.

University of Massachusetts, Boston**\$40,000**

The traditional research university was the model used after World War II to create or expand many of the four-year public colleges and universities. This model, however, may not adequately serve the range of needs and demands currently placed on these public institutions by their diverse constituencies. Ernest Lynton, senior associate at the Center for the Study of Policies and the Public Interest at the University of Massachusetts, Boston, is examining the major problem areas, such as the narrowing of faculty interest and specializations and the changing relationships between education and work. Lynton will follow up his findings with historical case studies of about ten institutions. He will then write a book which will include recommendations for means of achieving a better match between societal priorities and higher education's purposes. This two-year grant, along with funds from the Lilly Endowment and the Ford Foundation, is supporting the study.

American Association for Higher Education (AAHE)**\$14,900**

A 1982 Corporation grant enabled George Keller, former assistant to the president of the University of Maryland and now vice president of Barton-Gillet, a management consulting and public relations firm, to write a book entitled *Academic Strategy: The Management Revolution in American Higher Education*. Its purpose is to inform educational leaders about different kinds of planning techniques, their strengths and weaknesses, and how they can be applied to the demographic, financial, and academic problems of colleges and universities. This grant helped to underwrite a promotional campaign for the book. Part of the funds were used for an AAHE direct mail solicitation of higher educational presidents, deans, faculty members, and others.

*Nontraditional study***Consortium for Mathematics and Its Applications (COMAP)****\$300,000**

The goal of COMAP, based in Newton, Massachusetts, is to improve mathematics literacy in the United States. Since 1975, with grants from the National Science Foundation, it has been designing teaching materials for a new approach to mathematics education, emphasizing mathematical solutions to practical problems. In order to reach a larger audience, the organization is now developing a telecourse of 30 half-hour segments demonstrating how mathematics can be applied to specific situations in which one must, for example, map out an efficient route for garbage collection or choose strategies in labor negotiations. The course, which will concentrate on management science, politics, computers, growth, choice and chance, and the physical universe, is expected to be widely used by colleges for entry-level students, by adult education programs, and for broadcast on public television stations. Funding is being provided by this two-year grant and by a \$1 million grant from the Corporation for Public Broadcasting/Annenberg School of Communications Project.

Russell Sage Foundation

\$145,000

While the past decade has seen profound changes in awareness and activity concerning sex equity in higher education, many forms of discrimination persist. One intractable problem, for example, is the lack of tenured faculty women. With this two-year grant, Mariam Chamberlain, a resident scholar at the Russell Sage Foundation, is conducting a study of women in higher education during the past 10 to 12 years in order to formulate strategies for improving conditions for women. Aided by a task force of researchers and an advisory committee of policymakers, scholars, and academic administrators, Chamberlain is analyzing data pertaining to women's involvement in postsecondary education as students, faculty, and staff and to patterns of discrimination. The group will produce a book on the findings, accompanied by recommendations for the future.

Hood College

\$115,700

Despite considerable progress in reducing overt sex discrimination in higher education, women remain disadvantaged members of most college and university communities. Using Corporation funds, Karen Bogart recently completed the *Institutional Self-Study Guide on Sex Equity for Postsecondary Educational Institutions*, which helps institutions assess the degree to which they provide equitable treatment for women. While the book has been successful in this regard, college and university administrators have voiced the need for further assistance in overcoming specific problems at their institutions. In response, Bogart, with the sponsorship of Hood College in Frederick, Maryland, and Corporation support, is creating a handbook of case studies describing programs and policies that institutions have successfully used to reduce sex-based inequities. An advisory panel of experienced practitioners in higher education will guide and review all aspects of the development of the handbook. Publication is scheduled for 1984.

Massachusetts Institute of Technology (MIT)

\$15,000

Since 1974, MIT has offered the Minority Introduction to Engineering Program (MITE) in an effort to expose talented minority students to high-quality science and mathematics education. Each year, 40 applicants are selected on the basis of high academic achievement, recommendations from mathematics and/or science teachers, PSAT scores, personal interviews, and the completed application. The three-week residential program provides students with a realistic idea of the rigors of a technical and professional education, affording them the opportunity to observe and talk with engineers in their work places during field trips to local engineering firms. Previous funding for MITE came from the U.S. Air Force Office of Scientific Research. The Corporation contributed toward MITE's 1983 budget as part of its emerging interest in mathematics and science education models for minority students.

ACHE is a consortium of seven predominantly black institutions of higher education: Alabama A & M; Alabama State University; Miles, Oakwood, Stillman, and Talladega Colleges; and Tuskegee Institute. In 1974, ACHE undertook a self-evaluation that led to an expansion of the consortium's cooperative service and research activities. Eight years later it is again attempting an internal review of its operational effectiveness and assessment of its future directions. This time it is inviting a team of outside consultants to visit each institution and interview administrators, faculty members, students and community leaders as part of the evaluation. Corporation funds are supporting the effort.

Elementary and secondary education

Monitoring and advocacy

Western Service Systems (WSS)

\$1,000,000

Since 1975, Corporation grants have assisted the efforts of the Denver-based WSS and its Chicano Education Project (CEP) in addressing the educational problems affecting Chicano children in Colorado. Bilingual/bicultural education and educational accountability are among the issues WSS has dealt with. In 1981, the organization began using Corporation funds to broaden its scope. It established a Center for Hispanic Educational Leadership to provide school board members, parents, and school administrators across the country with information and training and to encourage a shared sense of purpose about improving education for all Hispanic children. With this three-year grant, WSS is continuing to expand its programs. At the local level, CEP is focusing on Denver, where it is, among other things, examining high schools' effectiveness in preparing poor and minority students for an increasingly technological labor market. At the state level, WSS is setting up a Public Education Partnership, a coalition of business and minority political leaders concerned with the support of public schools. At the national level, it is strengthening the work of the Center for Hispanic Educational Leadership.

Massachusetts Advocacy Center (MAC)

\$300,000

MAC was established in 1969 as an association of social service professionals and lay persons concerned with children who were excluded from the Boston public schools. It has since broadened its activities to encompass the entire range of children's rights and services in Massachusetts. A 1979 Corporation grant enabled MAC to develop a training program to help parents and other citizens become effective members of local advocacy groups working for school improvement. The grant also funded MAC's Policy Analysis and Action Unit, which produced a report on the discriminatory placement of black and Hispanic pupils in classes for the educationally handicapped, with the result that the state ordered nine school districts cited in the study to prepare plans for remedying the situation. This three-year grant is permitting the organization to follow up on the issues raised in that report, to conduct further statewide advocacy training and organizing aimed at improving public education, and to develop a pilot project designed to upgrade Boston's school system using parents and other volunteers. Additional funding is being provided by several foundations, corporations, and individuals.

Equality Center

\$210,000

Over the past 25 years, significant changes in American education have resulted from federal civil rights statutes. Overall, however, government performance in

enforcing these laws has generated dissatisfaction among civil rights advocates and has frustrated many educational institutions as well as individuals who have filed complaints. Cynthia Brown, co-director of the Equality Center and former U.S. assistant secretary of education for civil rights, is using this two-year grant to assess the problems with current civil rights policies. Her research, which will result in a report, will involve interviews with key representatives of the executive branch, Congress, civil rights, and labor organizations and with educational policymakers. Brown will conduct detailed case studies of several states in order to determine their capacity to take greater responsibility for some aspects of educational rights enforcement. This study will form the basis for a series of seminars to be attended by individuals concerned with civil rights and education.

Advocates for Children of New York (AFC)

\$5,400

Over the past five years the Corporation has provided \$446,000 for AFC's training and advocacy efforts to safeguard the educational rights of handicapped or disadvantaged children in the New York City school system. At the end of 1983, AFC's founding director, Miriam Thompson, resigned. In order to assure a smooth transition, she and the board requested assistance from Susan Gross and Karl Mathiasen of the Planning and Management Assistance Project (PMAP), Center for Community Change, in examining the organization's leadership needs, funding, and programs. The resulting report should help AFC to select a new director and implement appropriate change. This grant, along with funds from PMAP, is supporting the examination.

Technology and education

Educational Products Information Exchange Institute (EPIE)

\$200,000

As schools increase their use of microcomputers, they have to make difficult choices about purchasing the equipment (known as "hardware") and the programming (known as "software" or "courseware") that will best suit their needs. In order to promote more effective use of computer technologies in education, EPIE, which has been providing school personnel with evaluations of instructional materials since 1967, has joined with Consumers Union to produce detailed, objective assessments of the quality and capabilities of educational computer products. Software is being evaluated by EPIE in conjunction with the Microcomputer Resource Center of Teachers College, Columbia University, and by a network of professionals trained by EPIE staff. Consumers Union is carrying out the hardware evaluations. Information produced from the organization's work is being disseminated through three publications—*Micro-Hardware PRO/FILES*, *Micro-Courseware PRO/FILES*, and *Microgram Newsletter*—which are available on a subscription basis. Development, marketing, and other costs associated with the project are being paid by this two-year grant and by funding from the Ford, Richard Lounsbery, and San Francisco foundations.

Bank Street College of Education**\$155,000**

While microcomputers have great educational potential, one barrier to their effective use is the quality of available courseware. Tool software, which enables one to enter, revise, and organize information (e.g., text in the case of word processors, facts and figures in the case of data-base management systems), may help children adopt effective learning strategies and could have major effects in deepening student understanding of the scientific process. At the Center for Children and Technology of the Bank Street College in New York City, Karen Sheingold and her colleagues are analyzing tool software based on their knowledge of software design, educational needs, and developmental psychology, paying particular attention to data-base management systems. Field research in some 15 to 20 schools will enable the project staff to collect information on individual children's comprehension and use; teachers' understanding and perspectives on use; and actual use in classrooms. Sheingold and her staff will make recommendations for the design of tool software and suggest to educators the most effective way of using it.

Marc Tucker**\$25,000**

Experiments with the use of microcomputers, videodiscs, and telecommunications in education suggest the possibility of some major advances in the teaching of basic skills to low-achieving students and of upgrading educational achievement for everyone. Marc Tucker, formerly associate director of the National Institute for Education, used an earlier Corporation grant to study the potential and problems involved in the use of these new information technologies in elementary, secondary, and higher education, particularly concerning educational quality and equity. His work has led him to examine issues in a number of related areas as well, such as the relationships between education and economic growth and the need for improved mathematics and science instruction. This grant is permitting Tucker to continue his research, writing, and analysis on these subjects.

Training and assistance to school personnel

University of California, Berkeley**\$536,100**

In 1975, a group of women educators, mathematicians, and scientists in the San Francisco Bay area decided to work together to promote the participation of female students in mathematics and science. Their efforts led to the creation of the Math/Science Network, based at Lawrence Hall of Science at the University of California, Berkeley. EQUALS, a program that evolved from the Network, seeks to stimulate both students' and teachers' interest in mathematics through a variety of means, including career conferences for high school girls, training for teachers and administrators, and curricular and instructional materials. This three-year grant is assisting Nancy Kreinberg, director of EQUALS, and her staff in disseminating the EQUALS concept in two ways. They will first prepare and distribute information about issues relating to women and minorities in mathematics and science to key policymakers

at the state and national levels, and, second, provide seed grants, training, on-site assistance, and evaluation in six EQUALS centers around the country. Previous Corporation funding for the development and activities of the Math/Science Network has amounted to about \$497,500.

Southern Coalition for Educational Equity (SCEE)

\$375,000

SCEE, headed by Winifred Green, is an advocacy organization concerned with improving public schools in the South. It is now carrying out a pilot project to demonstrate how one school with a poor educational record can be helped in significantly upgrading the academic skills of its students. Plans for improvement are being formulated by a site council composed of the school principal, representatives of the teachers and their union, parents, students, and SCEE staff and school administrators. Council committees have been established to address such issues as curriculum, discipline, and parental involvement and to develop general strategies for change which will be implemented over a three-year period with the support of this grant. Faculty members from local universities are documenting and evaluating the experience at the pilot school and providing technical assistance to council members. If the experiment is successful, the process can be expanded to other schools in New Orleans. Information about it will be disseminated through a variety of channels, including the press and other organizations interested in poor children.

New York Urban Coalition

\$333,300

The New York Urban Coalition, an alliance of business, community, and labor leaders, created the Local School Development Project (LSDP) in 1979 to help parents, teachers, school administrators, and policymakers work together to plan and implement more effective instructional programs for their community schools and school districts. Over 30 schools in five districts have taken part in LSDP, which provides a variety of technical assistance and support services, including consultations on specific institutional and district problems and workshops on curriculum development, leadership skills, and other issues. An earlier Corporation grant assisted the school planning teams of community members, school personnel, and principals, which form the basis of LSDP within each school. The Coalition is now involving school superintendents and district officers in the Project, with the intent of extending LSDP and related school-based improvement efforts throughout the school system so that they become an integral part of the way that New York City public schools operate. In addition to this three-year grant for support, funding is being contributed by a number of foundations, corporations, and government agencies, including Chemical Bank, the Office of Juvenile Justice and Delinquency Prevention, the New York State Division for Youth, and the New York City Youth Board.

Council of Chief State School Officers (CCSSO)**\$157,000**

Concerned with the enforcement of Title IX of the Education Amendments of 1972, CCSSO received funding from the Corporation and the Ford Foundation in 1979 to establish a Resource Center on Sex Equity to work with state education departments in helping local school districts improve programs and policies that affect their female students. This 15-month grant is supporting two new activities initiated by the Center. First, to stimulate efforts to attract girls and minorities to science education, it is holding a "Leadership Institute" bringing chief state school officers, senior high school personnel, and leaders of state science and mathematics teachers' associations from ten states together with scientists, mathematicians, and representatives of model projects that have played an important role in increasing the number of female and minority students studying these subjects. Second, in recognition of the fact that pregnancy is a major reason why girls drop out of school, it is convening another meeting to allow state commissioners of education, state health and social service agency officials, and school district superintendents to discuss the problem of adolescent pregnancy with experts on this issue.

National Women's Law Center (NWLC)**\$223,000**

Title IX of the Education Amendments of 1972 states, in part, that "no person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subject to sex discrimination under any educational program or activity receiving federal financial assistance." Recently, the federal government's role in redressing problems of sex discrimination has been reduced. As a result, greater responsibility to oversee Title IX's enforcement has been placed on state and local agencies and private legal services, where there is relatively little expertise in tracking sex discrimination in educational institutions. NWLC, based in Washington, D.C., is offering instruction and assistance to approximately 600 lawyers working to effect equal opportunity for girls and women in the schools. It is giving priority to areas of the country where there has been less activity on sex equity issues (the Midwest, the South, and the Rocky Mountain states). In addition, NWLC will develop a curriculum guide for continuing education courses and law school seminars. This grant will support staff time, the development of new materials, and direct costs of organizing and following up on the training sessions.

Bay Area Research Group (BARG)**\$14,500**

With support from the Corporation, Jane David, president of BARG, has been carrying out case studies of "school-based, school-wide reform" projects in school districts around the country. These are attempts to increase schools' effectiveness for poor and minority students through cooperative efforts by the principal, teachers, and parents, who assess their school's needs and then develop and implement plans for upgrading the quality of instruction and other educational services for students. This grant enabled David to organize a meeting that brought together a

number of individuals directly involved in school improvement activities to discuss the strengths and weaknesses of alternative approaches aimed at bringing about beneficial changes in schools and their programs.

Editorial Projects in Education (EPE)

\$300,000

Education Week, published by EPE in Washington, D.C., was launched in 1981 as a comprehensive, national, nonprofit weekly covering elementary and secondary education. The newspaper is directed primarily to staffs of state education agencies, school board members, and principals, but also to parents and teachers. The Corporation used an allocation from its program development and evaluation fund (see p. 60) to engage Lawrence Durocher, a noted publishing consultant, to assess *Education Week's* operations and to assist EPE in designing a revenue-enhancing strategy with the goal of making the newspaper self-supporting. Durocher recommended a revised marketing plan that calls for EPE to send trial subscriptions to groups and individuals for varying periods of time, at the end of which they are asked to take paid subscriptions. This grant is covering the cost of testing this plan over a two-year period. Previous Corporation grants supported a study of the feasibility of establishing *Education Week* and provided start-up costs.

Education Commission of the States (ECS)

\$173,000

If informed, reliable advice about the legal consequences of their decisions were more readily available to educational policymakers, it might be possible to minimize the increasing amount of costly, disruptive litigation on educational issues. To meet this need on the state level, ECS, a state membership organization based in Denver, Colorado, in 1979 established the Law and Education Center. The Center disseminates information and carries out research designed to help legislators, governors, heads of education, and others in formulating educational programs that are consistent with the Constitution and existing laws and in anticipating possible legal challenges to their actions. At first the Center concentrated on questions of minimum competency testing. It has now expanded its work to include laws affecting the treatment of religious and moral values in the schools and state aid to, or regulation of, private education and home instruction. The Center is also examining state legal and regulatory provisions that affect education of the handicapped. This grant, supplementing earlier Corporation support, is contributing to the Center's work for two years.

Early childhood

Design of programs for children and families

Wellesley College

\$271,300

Since 1980, the School-Age Child Care Project (SACC) of the Wellesley Center for Research on Women has been conducting extensive research and writing on the establishment, financing, and administration of day-care programs for school-age children. Increasingly, it is called upon to provide information and consultation on how to set up new programs and upgrade existing ones to meet the demand for such services. The need has never been more evident, as the mothers of more than half of all school-age children now work outside the home. Previous Corporation support helped SACC to offer training programs for staff, develop demonstration projects in eight communities, and produce a "how-to" guide entitled *School-Age Child Care: An Action Manual*. Under this two-year grant, SACC is collaborating with the Child Care Law Center in San Francisco on a report on child care in public schools. SACC is also creating public service television announcements and related curriculum materials to teach safety and self-reliance skills to children who are alone at home. Additional support is provided by the Ford Foundation.

Children's Foundation (CF)

\$225,000

Family day care is defined by the federal Department of Health and Human Services as "nonresidential child care provided in a private home other than the child's own," which distinguishes it from day care in a center, nursery school, or other group facility. The most recent data show that in the United States there are more than 20 million children who spend from 10 to 30 hours per week in family day-care homes. There is a pressing need both to upgrade family day care and to reform regulations that tend to limit its availability. CF, in Washington, D.C., is using this three-year grant to help establish a National Association for Family Day Care to address licensing, training, registration, and other issues of concern to the persons who work in this field and to offer them professional and peer support in delivering the best possible care for the children in their charge. CF also monitors federal legislation dealing with child care and nutrition and produces a newsletter that keeps providers abreast of federal laws and policies that may affect them.

Children's Foundation (CF)

\$15,000

CF was founded in 1969 to develop, implement, and monitor food programs for children and their mothers living in poverty. Recently, it has expanded its activities to encompass related issues such as the need for day care and other support services for households headed by women. This grant contributed to CF's budget during the transition to this broader set of activities, which resulted in the subsequent grant from the Corporation for CF's family day-care project (see above).

San Francisco Lawyers' Committee for Urban Affairs

\$212,800

Building codes, zoning ordinances, and tax statutes often have the effect of limiting the quality and availability of day care, whether it exists in a private home, school setting, or other facility. In 1978 the San Francisco Lawyers' Committee for Urban Affairs, an organization concerned with urban poverty and civil and criminal injustice, established the Child Care Law Center to help remove legal barriers to the provision of child care and to improve its regulation in the state of California. Kathleen Murray, the Center's director is now organizing the National Child Care Law Project (NCCLP) to provide information and legal assistance to the child-care community on a nationwide basis. NCCLP is developing a network of lawyers who are knowledgeable about child-care questions and whose services are available on a *pro bono* basis; it is also educating groups and individuals involved in child care about legal problems and ways of dealing with them and producing publications on laws and policies that have an impact on family access to child care. This grant is supporting NCCLP's work over a two-year period.

Children's Museum

\$80,260

Since 1913, the Children's Museum in Boston has been a pioneering learning center for children and families. The Museum has used previous Corporation support to install Playspace, an environment that encourages parents to observe their pre-school children in a variety of activities, provides opportunities to discuss their observations with other parents and staff, and offers resources for further learning about children and their development. Hospitals, clinics, and prisons as well as other museums have expressed interest in the model. As a result, Patricia Cornu, project director, and her staff are developing a "how-to" handbook describing the concept and design of Playspace, issues raised by serving young children in public settings, the costs involved, and activities for young children and parents in public settings and at home. This grant is enabling Playspace to be replicated in four locations within the United States and information about it to be disseminated to a wide range of professionals across the country.

Advocacy for children and their families

Federation of Child Care Centers of Alabama (FOCAL)

\$120,000

Until 1972, when FOCAL was founded to help establish and assist day-care centers in the predominantly black areas of Alabama, the state had few publicly supported day-care programs for black and poor children. Since that time the organization's membership has grown to include 105 centers serving several thousand children and employing approximately 1,000 persons, most of them low-income women whose training was provided by FOCAL. Under the direction of Sophia Bracy Harris, FOCAL works with state and federal officials to ensure that funding for day care is equitably distributed. FOCAL has formed the Congress for Human Services, a coalition of over 100 human service organizations concerned with alerting

policymakers and the public to the plight of the poor in Alabama and with promoting more effective delivery of child-care services. With this second three-year grant from the Corporation, the organization plans to build on these activities and develop a training manual for centers, strengthen the Congress for Human Services, and broaden its base of financial support.

Social policy with respect to children and their families

High/Scope Educational Research Foundation **\$208,000**

Since 1971, the Corporation has assisted the research of psychologist David Weikart and his colleagues at High/Scope in Ypsilanti, Michigan, on the long-term effects of early childhood education and parent training on educationally disadvantaged children. During their explorations, the researchers came to recognize that policymakers responsible for making decisions about early childhood education programs do not always have adequate information about their relative benefits, costs, and results and thus are poorly positioned to determine how limited resources can most effectively be used to deliver high-quality educational services. Corporation grants in 1979 and 1981 helped High/Scope to establish a Center for the Study of Public Policies for Young Children aimed at informing policymakers about these issues. This grant is providing an additional year of support for the Center's activities, which are now being carried out intensively in four states. The U.S. Department of Education and the George Gund Foundation are also contributors to the Center.

Conference Board **\$180,000**

With the majority of mothers with young children working outside the home, the interface between family life and the work place is becoming a matter of concern both to parents and employers. This three-year grant is assisting the Conference Board, an international business research organization, in forming a Work and Family Information Center to involve employers in solving the problems faced by working parents. The Center's primary functions are to collect information on company policies and practices designed to meet the needs of mothers and fathers who work; to conduct research on important trends in this area; and to disseminate their findings through publications and conferences to employers, social service organizations, government agencies, research institutions, and unions. Dana Friedman, an expert on work and family issues, and the author of a recent Corporation-supported report entitled *Encouraging Employer Support to Working Parents: Community Strategies for Change*, is directing the Center.

**National Governors' Association Center
for Policy Research (NGA)** **\$20,000**

In July, the NGA and the state of Maine co-sponsored a national symposium in Portland on the needs of American children and the role and responsibilities of

state and federal government in responding to those needs. Key executive and legislative officials, directors of major child advocacy organizations, leading scholars in the children's field, and media representatives were invited to attend. Participants took part in workshops on issues such as child health and welfare, child care, education, and juvenile justice. Those involved in the seminar were also presented with information on innovative state programs that assist children and families. Corporation funds helped defray the costs of the symposium. Additional support was provided by several other foundations, the state of Maine, and the NGA.

Advancement of research on child development

Twin Cities Public Television **\$250,000**

Information on the problems children have growing up in the United States has usually been available only through the medium of print. In order to reach a wider audience, Twin Cities Public Television in Minneapolis/St. Paul used a 1982 Corporation grant to help develop seven television programs, entitled *Your Children, Our Children*, for national broadcast over public television stations. This 15-month grant is assisting with the production and dissemination of the programs, which will examine important questions concerning children and their relationships with society, their parents, and each other, and about public and private responsibility toward children. Co-produced by John Merrow, Thomas Goodwin, and Gerardine Wurzburg, each showing will be followed by a call-in program on National Public Radio, designed to elicit viewers' ideas and opinions and to provide information about how they can become active on children's behalf in their own communities. An extensive promotion and outreach plan has been developed for the series. The YMCA, the Boy Scouts and the Girl Scouts will help plan a variety of coordinated activities. Additional funding is being provided by the Dayton-Hudson Foundation and two of its operating companies and also by several other foundations.

Judge Baker Guidance Center **\$54,850**

In an effort to illustrate how children's development is shaped by different cultural environments, Charles Super and Sara Harkness of the Judge Baker Guidance Center in Boston, Massachusetts, have done extensive research on the cognitive growth of Kenyan children and on the family, community, and cultural context in which they are raised. A previous Corporation grant enabled Super and Harkness to gather data on American children to parallel their Kenyan studies. These funds are supporting the researchers while they write a book in which they are synthesizing, analyzing, and comparing their data on Kenyan and American children. They expect their results to demonstrate how children develop differently in the two cultures as well as some universal aspects of development, such as a distinctive increase in the capacity for independent activities manifested by most children around the age of six.

Tufts University**\$46,000**

Children with intact central nervous systems but delayed verbal and/or motor development or with serious behavior problems may be labeled mentally retarded because conventional tests of child development rely so heavily on speech. Philip Zelazo, a developmental psychologist, and Richard Kearsley, a pediatrician who also holds a Ph.D. in developmental psychology, have created procedures for determining a young child's capacity to process visual and auditory information without the demonstration of speech or motor skills. Funds from the Office of Special Education of the U.S. Department of Education supported the tests used to validate these methods and the design of a remedial program for use by parents. An earlier Corporation grant enabled Zelazo and Kearsley to analyze the results of their research and write a program manual and a book that will describe, in non-technical language, the assessment procedures and the educational techniques and discuss their significance. This grant is providing additional funds toward completion of the documents.

**National Association for the Education
of Young Children (NAEYC)****\$14,000**

What are the benefits of child care for families and employers? Which child-care delivery systems are cost efficient and provide high-quality programs? Parents, policymakers, corporations, child-care agencies, and the media are increasingly seeking answers to these and other questions about programs and services for families and children. NAEYC, a membership organization of approximately 37,000 individuals involved in the field of child care and education, is using this grant to determine the feasibility of a national information service on child care. The NAEYC staff is examining the kinds of information that the service would collect and disseminate, developing a structure for its operations, and meeting with child-care experts to identify priority topics and resources.

University of Denver**\$15,000**

In 1980, the Corporation made a three-year grant to support research being carried out by Kurt Fischer, an associate professor of psychology at the University of Denver, who has been working on a new theory of cognitive development in preschool children. According to this "skill theory," the sequence in which children learn social and cognitive skills can be predicted, and analysis of this sequence can clarify how children learn social roles and social interactions. To date, Fischer and his colleagues have collected data for 19 separate studies and initiated four others designed to test the validity of skill theory and explore its implications for understanding children's psychological growth. This grant is allowing the researchers to complete the project. Additional funding has been provided by the Foundation for Child Development.

Public affairs

Minority rights

Puerto Rican Legal Defense and Education Fund (PRLDEF) \$390,000

In 1972, PRLDEF was established to protect the civil rights of the two million Puerto Ricans then living in the continental United States and to increase the number of Puerto Rican attorneys in this country. Four previous Corporation grants totaling almost \$1 million have assisted PRLDEF in recruiting and counseling law students and have contributed to its Education Rights Project, which is dedicated to ensuring that schools fulfill their educational responsibility to Hispanic students. As part of this effort, the Project employs advocacy strategies, such as monitoring and litigation, to assure that court-ordered bilingual education programs are being implemented. In recent years, it has broadened the scope of its activities to include the issues of minimum competency testing, vocational education, and special education services. This grant renews Corporation support of the Project for three more years.

Native American Rights Fund (NARF) \$218,350

NARF began operation in 1971 with support from the Ford and Field foundations and the U.S. Office of Economic Opportunity. It provides representation for tribes, groups, and individuals in important cases affecting native Americans. NARF works to protect tribal resources, promote human rights, ensure the accountability of government to native Americans, and advance the development of Indian law. Based in Boulder and headed by John Echohawk, NARF offers a unique opportunity for a few of the increasing number of native Americans graduating from law school to gain experience in negotiating and litigating major legal issues of concern to native Americans. The NARF interns work under the supervision of an experienced staff attorney. Previous Corporation grants enabled NARF's Indian Lawyer Intern Project to accept ten law graduates for training periods ranging up to two years. Six of these interns have remained with NARF as staff attorneys, and others have gone to jobs in native American communities. This two-year grant is permitting three additional interns to participate in the Project.

Strengthening minority leadership and organizations

Southern Regional Council (SRC) \$360,500

Although blacks make up more than 20 percent of the population in the South, they still constitute only about 2 percent of all elected officials in the region. SRC in Atlanta, Georgia, used a 1980 Corporation grant to provide black state legislators and other elected officials having predominantly black constituencies with services designed to help them improve their understanding of conditions affecting poor

and black people. The project, which operates in Alabama and Georgia, involves student interns who monitor the passage of laws, committee decisions, and developments in state governments and agencies and who share the resulting data with participating legislators. A network of experts offers technical assistance to legislators and produces publications aimed at promoting the exchange of information. In addition, a reference service is provided by project staff members who analyze budgetary proposals and carry out research on issues and policies of importance to poor and black citizens. This grant is supporting the project for another two-year period.

National Puerto Rican Coalition

\$175,000

The membership of the National Puerto Rican Coalition, which was founded in 1977, includes representatives of most of the national Puerto Rican associations and many prominent local groups along with individuals from the business and nonprofit sectors. Based in Alexandria, Virginia, the Coalition's principal goals are to improve social, economic, and political conditions for the roughly two million Puerto Ricans living on the United States mainland and the three million more who reside on the island of Puerto Rico. With this two-year grant, the Coalition is launching a Public Policy and Research Unit to analyze and disseminate information on education, housing, employment, economic development, political participation, and other subjects of concern to the Puerto Rican community. The first two issues to be addressed by the Unit are the impact of cutbacks in federal funding on institutions and organizations that serve Puerto Ricans and trends in island/mainland migration. In both cases, the Coalition will commission papers, hold a conference for discussion of the issues, and disseminate the results of the meeting widely.

Southern Education Foundation (SEF)

\$115,000

Since its founding in 1937, SEF's essential purpose has been to advance educational opportunities for blacks in the South. SEF has now established a public policy and education project with a mandate to evaluate and respond to changes in the federal government's role in educational and other programs that affect the organization's constituents. The project involves three task forces: one on education and economic development, another on youth entitlement, and a third on the devolution of federal power and programs to the states through such means as block grants. This two-year award is contributing toward core support of the project and covering the cost of the task force on devolution of federal power, headed by Lisle Carter, former assistant secretary of the U.S. Department of Health, Education, and Welfare. The task force is first gathering data on the Community Development Block Grant Program, which includes funding for low-cost housing for the poor; it will later examine the Education Block Grant Program. The Ford, Rockefeller, and Charles Stewart Mott foundations are also supporting the project.

American Civil Liberties Union Foundation (ACLU) \$200,000

In 1982, a bill strengthening and extending the Voting Rights Act of 1965 was passed by Congress. The new law amends Section 2 of the Act, which prohibits all voting practices and procedures that discriminate on the basis of race. It now allows voting systems to be challenged on the grounds of discriminatory results even if there is no proof of discriminatory intent. It also continues for 25 years the Section 5 requirement that states and localities covered by the Act must clear any voting law changes in advance with the Justice Department. A new provision, however, permits a covered jurisdiction to be released from Section 5 stipulations if it can demonstrate that it has, among other things, complied with voting rights laws for the past ten years. This two-year grant supplements an earlier Corporation award for a public education campaign about the Act. It is supporting the efforts of the ACLU's Voting Rights Project, in Atlanta, Georgia, to eliminate racial barriers to the vote through means such as litigating cases that fall under Section 2; contesting potentially discriminatory voting schemes proposed by jurisdictions covered by Section 5; and monitoring applications to have Section 5 regulations lifted. Related activities are being conducted by the Lawyers' Committee for Civil Rights Under Law (see below).

Lawyers' Committee for Civil Rights Under Law (LCCRUL) \$200,000

The Voting Rights Project of LCCRUL, in Washington, D.C., is concerned particularly with monitoring how the U.S. Department of Justice responds to violations of the Voting Rights Act and conducts litigation to prevent the implementation of potentially discriminatory changes in election laws and redistricting plans. Public education and technical assistance, such as workshops for attorneys and community advocates on the mechanics of voting rights litigation, are also part of the Project's work. This two-year grant, together with funding from the Ford and Rockefeller foundations, is covering the cost of the Project's activities. The American Civil Liberties Union Foundation sponsors a similar project (see above), which often cooperates with LCCRUL on voting rights monitoring and litigation.

Southwest Voter Registration Education Project (SVREP) \$193,650

SVREP, located in San Antonio, Texas, was established in 1974 to promote voter registration among Mexican Americans, native Americans, and other minorities in six southwestern states and to provide a nonpartisan program of research, litigation, and voter education. Research has played an increasingly important part in SVREP's activities, helping to determine which counties or precincts will be responsive to voter education drives and which issues of importance to minorities will stimulate their participation in the electoral process. A two-year grant from the Corporation is assisting SVREP in expanding its research capability by devel-

oping four types of resources: county profiles from Census and registration data; public opinion polls and surveys; election analyses; and special studies of minority elected officials and of factors affecting minority voting strength. These resources should prove valuable to the organization as it widens its area of operation to include seven additional states with substantial Chicano and native American populations.

Leadership development among women

Rutgers University

\$95,000

The first conference of women state legislators was held in 1972 under the aegis of the Center for the American Woman and Politics (CAWP), a research, education, and public service organization established in that year as part of the Eagleton Institute of Politics at Rutgers University. CAWP used a Corporation grant for this gathering and received additional funding to hold a second meeting in 1982 that brought together approximately 60 women from 18 state legislatures, along with other speakers and panelists, to consider how they might organize around issues of concern to women across state and party lines. With this 18-month grant, CAWP sponsored a national forum that was open to all of the more than 1,000 women who now serve in state legislatures. Following the assembly, CAWP worked with existing organizations and women's caucuses to help participants continue their exchange of information and mutual support on a regular basis.

Other grants

Foundations and nonprofit institutions

Council on Foundations

\$150,000

The Washington, D.C.-based Council on Foundations, which began operation in 1958, currently has a membership of close to 1,000 private, community, and corporate foundations, trust companies, banks, and other organizations involved in grantmaking. Its purposes include contributing to a broader public understanding of the role of philanthropy in American life; supporting public policies that enable the philanthropic sector to be more effective; and improving grantmaking practices. The Council had taken a leadership role in the foundation field, setting standards and encouraging self-regulation. This five-year award is helping the Council, under the direction of president James A. Joseph, to establish a program fund to finance these and related activities. The Council, which has a staff of 38 persons, receives most of its income from membership dues, and it also has income from the sale of publications and services. The program fund will enable it to continue to offer a wide variety of programs of value to philanthropic organizations while moving toward full self-support from dues and fees. Support is also being provided by a number of other member foundations.

Council on Foundations

\$15,000

The Committee for International Grantmakers (CIG), part of the Council on Foundations, was established in 1981 "to increase the scope and effectiveness of grantmaking for international programs, in this country and abroad, by providing support and other services to foundations, corporations, and other grantmakers interested in international programs." It has undertaken a number of activities, including production of a handbook on legal and technical questions relating to grantmaking overseas, research and technical assistance to donor institutions wishing to make international grants, and encouragement of cooperation between American grantmakers and their foreign counterparts. Corporation funds are contributing to CIG's budget over a one-and-a-half-year period.

Independent Sector

\$15,000

Under the Internal Revenue Service (IRS) Code, restrictions are placed on the lobbying activities of tax-exempt public charities and private foundations. This grant assisted Independent Sector, in Washington, D.C., which is concerned with the functioning of voluntary and philanthropic agencies, to develop an *amicus* brief in a Supreme Court case challenging aspects of the IRS regulations. The law firm of Caplin & Drysdale was primarily responsible for preparing the brief. Additional support was contributed by the Mary Reynolds Babcock Foundation.

National Information Bureau (NIB)**\$7,500**

Since 1918, NIB has been monitoring the activities of national charitable organizations that raise money from the public. Its reports on how well various groups meet its eight basic standards of philanthropic management are used by foundations, corporate donors, and individual contributors in making judgments about potential recipients of funds. The Corporation provided occasional support for NIB between 1925 and 1946 and in the succeeding years has assisted it on a regular basis. This grant is continuing that commitment for three more years.

Planning for the Sesquicentennial Anniversary of Andrew Carnegie's Birth**\$50,000***

Andrew Carnegie was born in 1835 in Dunfermline, Scotland. The major philanthropist of his time, he endowed Carnegie Corporation of New York to promote the advancement and diffusion of knowledge and understanding in the United States and much of the English-speaking world. In addition, he created a number of institutions, organizations, and trusts in this country and in the United Kingdom to pursue scientific research, promote world peace, and recognize heroism, among other goals. In August of 1985, representatives of the various Carnegie groups will gather in Dunfermline in recognition of the sesquicentennial anniversary of Andrew Carnegie's birth. Planned activities include an Anglo-American conference on the importance of philanthropy in a changing world. This grant is helping to pay some of the costs of preparing for the conference and related activities.

*Miscellaneous***Harvard University****\$494,100**

The deterioration in U.S.-Soviet relations and potential escalation of the arms race have intensified public concern about the danger of nuclear war. Graham Allison and Albert Carnesale, respectively dean and academic dean of the John F. Kennedy School of Government, and Joseph Nye, professor of government at the University, are co-directing a research and training project devoted to developing a framework and methodology for examining the hypothetical paths that could lead to a major nuclear war and to defining an agenda of actions that could be taken to reduce the likelihood of such a war. The project will engage policymakers, their advisors, and the broader public in serious deliberation about this agenda. Based at the Kennedy School, the project will be carried out principally by a core working group of up to ten scholars from different academic centers representing a range of disciplines. Their work will be strengthened by periodic faculty seminars, research fellowships, courses, conferences and a "sounding" board that will meet annually to review progress. The Corporation is providing first-year support toward this multi-year project.

**Program administered by officers of the Corporation.*

Stanford University**\$21,000**

Alexander George, professor of political science at Stanford University's Center for International Security and Arms Control, and a MacArthur Fellow, has pioneered the development of ideas regarding deterrence, coercive diplomacy, conflict avoidance, and crisis management. With the assistance of senior scholars and pre- and post-doctoral students, he will analyze historical cases in which peace has been threatened by the conflicting requirements of coercive diplomacy and crisis management. They will identify critical variables, practices, and requirements in these cases, drawing together the lessons of the past into what is planned to be a policy-relevant format for the future. This grant supported some of his research expenses in connection with the project over a six-month period.

Public Policy Implications of an Aging Society**\$200,000***

An unprecedented change in the age composition of the U.S. population is taking place. The median age is now 31 and rising. The number of persons below the age of 15 has dropped by nearly 7 million since 1970, while the number of adults age 25 to 34 has grown by over 13 million and of the elderly by more than 6 million. By the next century, fully 12 to 15 percent of the population will be 65 years or older, a figure that will rise to 20 percent by about the year 2035. Lydia Brontë, former program officer of the Rockefeller Foundation, used support from the Corporation's program development and evaluation fund (see p. 60) to report on how these population trends are likely to affect the functioning of American society. This appropriation is enabling Brontë and Alan Pifer, president emeritus and senior consultant to the Corporation, to carry out further explorations of the public policy implications of an aging society, focusing on such issues as intergenerational equity, the aging workforce, and values. Conferences are being held with experts in gerontology, health care, law, anthropology, and history.

WGBH Educational Foundation**\$250,000**

In order to stimulate public interest in the life sciences, WGBH, the Boston public television station, planned a series of six one-hour documentary films entitled *The Strangeness of Nature*, which was to have as its theme the fascinating mysteries of nature and the possible solutions to these mysteries that are now being explored. Some of the specific subjects to be covered by the programs, which were to be hosted by noted physician, researcher and essayist Lewis Thomas, are the origins and complexity of life; the interdependency of living things; and the responsibility of humans to maintain life on this planet. This 15-month grant, along with \$1 million from the Squibb Company and support from several other foundations, helped to fund the project. A grant from the Charles H. Revson Foundation assisted with the planning period. Subsequent to the awarding of the grant, Dr. Thomas had to withdraw from the project and the grant was cancelled.

**Program administered by officers of the Corporation.*

American Library Association (ALA)**\$15,000**

Recent years have proved to be a time of crisis for public libraries in the United States. Cutbacks in government funding along with the escalating costs of labor, goods, and maintenance have made it difficult for libraries to provide the kinds of services that the public needs and even, in some cases, to stay open for more than short periods each week. In order to encourage the American corporate sector to support the nation's libraries, the ALA used this grant to help establish a Business Council for Libraries. The Council is forming local and regional groups to involve business persons directly with libraries in their own communities.

American Psychological Association (APA)**\$15,000**

The growing recognition of the importance of behavioral factors in the cause, prevention, and treatment of illness has led to the rapidly increasing involvement of psychologists in health-related fields. In May, APA's Division of Health Psychology, which was founded in 1978, held a "National Working Conference on Education and Training in Health Psychology" to examine the kinds of roles psychologists are taking on in regard to health and to determine the types of training they need to help them meet the new demands being placed on their professional skills. This grant supported preparation for the meeting, the production of a report on its proceedings, and travel and other costs for some participants.

Gordon Research Conferences**\$15,000**

The Gordon Research Conferences, based in Kingston, Rhode Island, was established in 1931 to promote exchange of scientific ideas and information. This grant helped to support a Gordon Research Conference on Cellular and Molecular Aspects of Neural Plasticity, which had as its central theme an examination of the long-term alterations in brain structure and chemistry brought about by factors such as hormones and experience. Since functional plasticity is viewed as a fundamental property of nerve cells and is the basis of learning and memory, understanding the consequences of modifications in nerve cell function is of substantial importance to the neurosciences.

National Conference on Social Welfare**\$15,000**

What should be the nature and extent of the federal social role? What principles should guide the development and implementation of federal social policies? The National Conference on Social Welfare, an organization founded in 1873 to help promote the social well-being of Americans, is sponsoring a study that will assess and make recommendations about these and related questions. As a preliminary step, Alan Pifer, the project's chairman, and Forrest Chisman, former program officer of the Markle Foundation who has also served in government, gathered background information through consultations and seminars and developed a specific plan for the study. This grant helped to fund the planning period.

International program

Southern Africa

United States-South Africa Leader Exchange Program (USSALEP)

\$100,000*

USSALEP was founded in 1958 by a group of concerned South Africans and Americans seeking to encourage understanding and communication across racial and ethnic lines between and within the two countries. Under its auspices, more than 275 South African leaders and potential leaders from a variety of fields have visited this country, and an equal number of black and white Americans have traveled to South Africa. USSALEP also sponsors the Careers Development Program which assists Coloured, Asian, and black South Africans in receiving training designed to enable them to move from low-level jobs into positions of greater responsibility. Over the years, the Corporation has funded these and other USSALEP activities. This grant is contributing to USSALEP's support over a three-year period to carry out current activities as it develops new programs aimed at promotion of a just society in South Africa. Additional funding is provided by several United States and South African corporations and foundations.

University of Cape Town (UCT)

\$200,000

Between 1928 and 1932, the Corporation financed the Carnegie Commission on Poor Whites, which studied and reported on "the process of impoverishment" that excluded many poor white South Africans from economic advancement. Recent Corporation support has enabled Francis Wilson, director of the Southern Africa Labour and Development Research Unit of UCT, to formulate models for a Second Carnegie Inquiry into Poverty and Development in Southern Africa and to initiate its research phase. This study is examining the current causes and conditions of poverty for all racial groups in Southern Africa as well as issues related to the country's development. A diverse group of social scientists, economists, lawyers, business persons, and other concerned individuals has been brought together in working groups that are grappling with such matters as the relationship of poverty to law, education, food and nutrition policy, the church, and the allocation of public resources. Several reports on their findings have already been issued and more are planned. This 15-month grant is funding further research and working group activities leading to a major conference on the Inquiry's work, to be held in the spring of 1984. Part of the grant will allow for follow-up efforts including production of additional scholarly publications, preparation of journal and newspaper articles to inform the public about poverty in Southern Africa, and related projects that should emerge from discussions at the conference.

**Grant appropriated from both U.S. and international funds.*

University of the Witwatersrand

\$153,500

Since 1978, Corporation grants totaling \$425,000 have helped to fund the operations of the Centre for Applied Legal Studies (CALs), an autonomous unit of the University of the Witwatersrand in Johannesburg, South Africa. CALs conducts a program of research into the ways that South African law affects the black community. Its activities also include a public education campaign designed to call attention to the frequent disparity between the content of South Africa's legal code and international human rights standards as they bear on the country's black majority. It litigates censorship and civil rights cases in order to establish precedents advancing the equality of individuals before the law. This additional three years of funding for CAL's work is primarily supporting its examination and monitoring of South Africa's security laws which permit such actions as arrest and indefinite detention without trial, the banning of certain publications dealing with racial and political issues, and the withdrawal or refusal of passports. The Ford Foundation and several South African corporations also contribute to CAL's budget.

Black Lawyers' Association Legal Education Centre

\$75,000

Because of South Africa's system of apartheid, black lawyers in that country receive an education that is both separate from and inferior to that of their white counterparts. Once trained, they face many difficulties establishing a practice. The Black Lawyers' Association, a membership organization of black South African, Coloured, and Asian lawyers, was formed in 1980 to address the special issues and problems of concern to this group. This three-year grant, joining funding from the Ford and Rockefeller foundations, is supporting the establishment of the Legal Education Centre to help improve conditions for black members of South Africa's legal profession and the community they serve. The Centre is beginning its work with the formulation of four activities: a continuing education program to upgrade the legal skills and knowledge of black lawyers; a clerkship system offering guidance, placement, and training for recent black law graduates; the establishment of law clinics in black townships; and a program of research and public education on areas of law that particularly affect South Africa's black population.

United States-South Africa Leader Exchange Program (USSALEP)

\$56,000*

Alan Pifer, who headed the Corporation for 17 years, resigned in December 1982 to work on special projects and take part in public service activities, some on behalf of the Corporation. In his honor, the Corporation's trustees have established the Alan Pifer South Africa-United States Traveling Fellowship Program as a means of recognizing and carrying on his long-standing interest in bringing about improved conditions for all citizens in South Africa and in educating Americans about that nation. From the \$100,000 fund, the Corporation has made a grant of \$56,000 to

**Grant appropriated from both U.S. and international funds.*

USSALEP to operate the program over a four-year period. In alternating years, the program will allow a young American or South African whose professional or educational growth would be enhanced by spending some time in the other country to visit all geographic regions and as many economic, political, and social strata of society as possible. A board of selectors in each country, including Alan Pifer and USSALEP's director, Steven McDonald, will choose the recipients of the Fellowship award. The first year's award will go to a South African.

Educational Opportunities Council (EOC)**\$40,000**

In 1980, the Institute of International Education, an American educational exchange agency, received a Corporation grant to help initiate the South African Education Program. The Program enables black South Africans to study in this country under fellowships and scholarships funded by U.S. corporations and universities. In South Africa, the Program is operated by EOC, a Johannesburg-based organization founded in 1979 to develop and promote black educational opportunities. This two-year grant is supporting a field officer whom EOC has engaged to organize and coordinate the work of its regional boards. The boards publicize the Program and screen and recommend candidates. Additional funding is being provided by the Ford and Rockefeller foundations.

Foreign Policy Study Foundation**\$30,000***

The Study Commission on U.S. Policy Toward Southern Africa was established in 1978 by the Rockefeller Foundation to examine how the United States should best respond to world problems posed by South Africa and its system of racial separation. Under the chairmanship of Franklin Thomas, president of the Ford Foundation, it produced a report entitled *South Africa: Time Running Out* (University of California Press, 1981). The Commission then engaged the Constitutional Rights Foundation and Global Perspectives in Education to help prepare educational materials based on the report for students and social studies teachers in high schools across the country. Other dissemination activities for the report include articles for educational magazines and presentations at meetings of educational associations. Funding for the public education effort has also been provided by the Xerox Corporation and Ford Foundation.

Black Education and Research Trust**\$25,000**

The lack of organizations representing black interests in South Africa makes it difficult for individual members of the country's nonwhite majority to coalesce around long-term community issues. One step toward addressing this problem is the Council for Black Education and Research, which was founded in 1980, with support from the Corporation, by a group of black educators in South Africa

**Grant appropriated from U.S. funds.*

concerned with influencing the development and administration of public policy regarding education for blacks. Recently the Council also began two publications: *Education Press*, a quarterly digest of views and events in education, and *The Capricorn Papers*, a monograph series on subjects related to educational theory and practice. This grant is helping to finance the Council's work. The funds are administered by the Black Education and Research Trust.

United States-South Africa Leader Exchange Program (USSALEP)

\$15,000

For 25 years USSALEP has dedicated itself to promoting communication and understanding between South Africa and the United States through activities that include exchanges of individuals. In order to determine how best to pursue this concern in the coming years, the organization convened a meeting that brought together many of its South African and American members to assess the effectiveness of its current programs, consider possible directions for the future, and rearticulate USSALEP's goals. This grant, along with funding from South African sources, helped to pay the costs of the conference.

Columbia University

\$7,500

John Didcott is a judge in the Natal Division of the Supreme Court of South Africa. In both his country and the U.S. he is recognized as playing an important progressive role in trying to lessen the hardships for the nonwhite majority imposed by South African law and to promote equal justice. This grant for travel and living accommodations will permit Judge Didcott to spend the 1984 fall term as a visiting scholar at Columbia University's Law School in order to study U.S. constitutional and administrative law. Judge Didcott's objective is to use what he has learned from his studies and discussions at Columbia to contribute to future debate about legal and constitutional reform in South Africa.

Women and development

University of Minnesota

\$102,000*

The United Nations inaugurated its Decade for Women with a 1975 world conference in Mexico City, which set goals for increasing women's involvement in many aspects of national and international activity. A mid-decade conference was held in Copenhagen in 1980. On both occasions, delegates representing the governments of participating nations attended the official conference while a parallel, unofficial forum also took place, attended by representatives of nongovernmental organizations that operate women's programs. This will also be the case with the final world conference, to be convened in Nairobi in 1985. Arvonne Fraser, director of the Women, Public Policy, and Development Project of the University of Min-

*Grant appropriated from both U.S. and international funds.

nesota's Humphrey Institute, organized a meeting of women leaders from a number of countries to explore ways of fostering interaction at the 1985 meeting in Nairobi, Kenya, between government and nongovernment groups for the purpose of generating information and policy initiatives that will advance the status of women. Publications resulting from these discussions, to be widely disseminated, will serve as background for a second meeting aimed at developing program and follow-up ideas for the 1985 nongovernmental forum. This three-year grant is helping to pay for the meetings and for policy workshops for nongovernmental officials.

University of the West Indies**\$22,100**

The Institute of Social and Economic Research (ISER) of the University of the West Indies has used support from the Leverhulme Trust Fund in England and the Ford Foundation to carry out a major research project on the conditions and experiences of women in the Caribbean. Corporation funds enabled ISER to publish some of the results of the study in its *Occasional Papers* series. Topics covered in the articles and monographs include women's perceptions and roles with regard to their families, the law, and employment. This grant is supporting the preparation of a "general reader" on the status of Caribbean women as a means of reaching a broader audience. Written in nontechnical language, the book is intended primarily as a basic text for courses on contemporary Caribbean issues, but it will also be appropriate for interested nonacademics.

Equity Policy Center**\$15,000***

In 1973, the Percy Amendment to the Foreign Assistance Act was passed by Congress. Its purpose was to ensure that the Act was administered in a way that would advance the integration of women into the national economies of developing nations and thus improve their status and living conditions. With this grant, Irene Tinker, director of the Washington, D.C.-based Equity Policy Center, an organization concerned with the equitable distribution of income and resources both in this country and abroad, carried out a study of the Amendment's impact over the past ten years. The report on her findings includes an examination of the programs and policies set in motion by the Amendment, its effect on U.S. donor agencies, and future activities that may help to promote women's participation in the social, economic, and political life of the developing world.

Pan American Development Foundation (PADF)**\$13,000**

Lack of access to credit acts as one of the most severe constraints on small entrepreneurs in the Third World. This situation can be especially troublesome for women, whose economic progress may depend on their ability to borrow money to start a small business or to market their crafts. Located in Washington, D.C.,

**Grant appropriated from U.S. funds.*

PADF, an organization founded in 1962 to promote private-sector support for development in Latin America and the Caribbean, has helped to establish National Development Foundations (NDFs) as an alternative means of extending credit to small business owners through the use of revolving funds or by guaranteeing bank loans. NDFs also offer technical assistance and training to loan recipients in such areas as accounting and management procedures. This grant covered the cost of a PADF training course for the staffs of Commonwealth Caribbean NDFs and regional bank staff on the particular credit needs and problems of women. It also paid for the collection of data about NDF clients, including women's record of repaying loans — information that may be valuable in dispelling prejudicial attitudes about women as borrowers.

International communication

Aspen Institute for Humanistic Studies

\$50,000*

Dick Clark, former U.S. Senator from Iowa who was active in the U.S. Senate Foreign Relations Committee, is now a senior fellow at the Aspen Institute for Humanistic Studies. He is convening three conferences of high-ranking policymakers (including officials of both U.S. political parties), business leaders, and media representatives to consider viable U.S. policy options toward selected developing nations undergoing rapid political and economic change. Each conference is focusing on a different set of conditions. This grant, combined with funding from several other foundations, is supporting the project. The Johnson Foundation has contributed the use of its Wingspread Conference Center in Racine, Wisconsin, and is acting as a co-sponsor of the series with the Aspen Institute.

Indiana University

\$10,000*

Gwendolen Carter, a leading Africanist at Indiana University, has initiated a seminar series at the University that is drawing upon the expertise of prominent U.S. scholars and African policymakers in examining the experiences and consequences of African independence over the past 25 years. Papers presented by participants will be collected in a book to be published by Indiana University Press in the fall of 1984. Prior to publication, Carter will hold a meeting at the Wingspread Conference Center to bring together the authors of the papers, some of the African officials participating in the seminar series, and U.S. government experts on African affairs to discuss and analyze the materials. It is the hope of those involved in the project that the book will point the way toward new opportunities for building a solid relationship between African nations and the U.S. This grant is assisting with the costs of the Wingspread gathering.

**Grant appropriated from U.S. funds.*

**Greater Washington Educational Telecommunications
Association (WETA)**

\$15,000*

Current research indicates that the general public is not well informed about developing countries. WETA, a public television station in Washington, D.C., is using this grant toward the costs of producing a half-hour pilot program for a projected series tentatively entitled *One World: Global Issues and the Developing World*. The series, which will be hosted by Randall Robinson, executive director of TransAfrica Forum, is intended to provide a broad range of views and stimulate public discussion about the developing world.

**Grant appropriated from U.S. funds.*

Program-related investments

The Tax Reform Act of 1969 permitted foundations to make program-related investments (PRIs) in addition to grants. This method of funding, in the form of a loan, loan guarantee, or equity investment, can be used to support a philanthropic undertaking that may generate income in the future. In 1978, the Corporation's trustees approved a plan to make PRIs for institutions or projects that might otherwise qualify for a grant under the Corporation's program.

This year a PRI of \$50,000 guaranteeing a flexible line of credit from Chemical Bank was voted to the Institute for Research in History. The Institute, based in New York City, was founded in 1975 by a group of women historians to provide an intellectual community for scholarly research and writing in the humanities independent of university affiliation. Currently, the organization has a membership of over 200 scholars, about 30 percent of whom are men. Four of the projects initiated by members have been designed as potentially profit-making ventures. These are: *Editors and Scholars*, which offers research, writing, editing, and translation assistance to publishers who then produce and market the results; *Media Answers*, which undertakes historical research for filmmakers; *Scholars in Transition*, which offers a six-week career development program for faculty members and graduate students who want to prepare for nonacademic careers; and *Key Perspectives*, which creates seminars and related services for sale to corporations. These activities were previously supported by a Corporation PRI of \$59,500 made to the Institute to guarantee a loan it received from the National Consumer Cooperative Bank in 1982.

Program development and evaluation fund

The Program Development and Evaluation Fund enables officers to explore potential new program directions and commit funds for outside evaluations of major Corporation-supported projects. It also allows them to follow up grant commitments with objective reviews of what has been learned. The following allocations, totaling \$166,028, were made from the Fund in 1982-83:

For the expenses of working groups to explore possible new program priorities in the areas of international affairs, the prevention of damage to children, and science education	\$36,000
For a paper on the potential contributions of the behavioral sciences to the prevention of nuclear war	\$35,000
For a meeting on state compensatory education programs as they relate to minimum competency requirements	\$20,000
For a literature review of prejudice, ethnocentricity, and conflict resolution as they relate to child development	\$20,000
For a consultant on the implications for the society of the increasing proportion of elderly in the United States	\$15,551
For organization of and follow-up to a conference on the education of minorities and women in mathematics and sciences	\$15,000
For an investigation of the process of leadership development within community-based organizations	\$14,900
For a formative evaluation of <i>Education Week</i>	\$ 5,000
For a meeting of American lawyers regarding law-related human rights organizations in South Africa	\$ 2,629
For a consultant to the Mina Shaughnessy Program of the Fund for the Improvement of Postsecondary Education	\$ 1,948

Dissemination fund

Allocations from the Dissemination Fund assist in the completion of books and other publications that emerge from projects supported by the Corporation and help to ensure their widespread promotion and distribution. The Fund provides flexibility in selecting significant projects for special attention and has proven to be an economical and effective means of disseminating the results of Corporation grants. The following allocations, totaling \$17,156, were made from the 1982-83 Dissemination Fund:

Toward the publication of a book about the Carnegie family's Skibo Castle in Dornoch, Scotland, by Joseph F. Wall (Oxford University Press)	\$12,000
Toward promotion of the softcover edition of <i>Parent to Parent</i> , by Peggy Pizzo (see publications resulting from grants)	4,800
Supplementary allocation for editing, reproduction, and dissemination of a consultant's report on working parents and employers (see publications resulting from grants)	356

Publications resulting from grants

In the past year 24 books and pamphlets reporting the results of projects funded wholly or in part by Carnegie Corporation were published by commercial and university presses and by research organizations.

Grants in the field of higher education resulted in the following publications:

Academic Strategy: The Management Revolution in American Higher Education, by George Keller (The Johns Hopkins University Press)

Dollars and Scholars: An Inquiry into the Impact of Faculty Income Upon the Function and Future of the Academy, edited by Robert H. Linnell (University of Southern California Press)

Meeting Learners' Needs Through Telecommunications: A Directory and Guide to Programs, by Raymond J. Lewis (American Association for Higher Education)

Proceedings of the Symposium: The Role of the Academy in Addressing the Issues of Nuclear War (Hobart and William Smith Colleges)

Women's Studies and the Curriculum, edited by Marianne Triplette (Salem College)

The Year of the Monkey: Revolt on Campus 1968-69, by William J. McGill (McGraw-Hill)

Several publications addressed issues in elementary and secondary education:

The Courts, Validity, and Minimum Competency Testing, edited by George F. Madaus (Kluwer-Nijhoff Publications)

High School: A Report on Secondary Education in America by Ernest L. Boyer (Harper & Row)

The Rights of Handicapped Students, by Christiane H. Citron (Education Commission of the States)

A number of publications concerned with young children reflect the Corporation's interest in that area:

Art, Mind, and Brain: A Cognitive Approach to Creativity, by Howard Gardner (Basic Books)

Encouraging Employer Support to Working Parents: Community Strategies for Change, by Dana Friedman (Center for Public Advocacy Research, Inc.)

Images of Life on Children's Television: Sex Roles, Minorities & Families, by F. Earle Barcus (Praeger Publishers)

Parent to Parent: Working Together for Ourselves and Our Children, by Peggy Pizzo (Beacon Press)

School-Age Child Care: An Action Manual, by Ruth Kramer Baden, Andrea Genser, James A. Levine, and Michelle Seligson (Auburn House Publishing Company)

The following book emerged from the Corporation's public affairs program:

Felix S. Cohen's Handbook of Federal Indian Law: 1982 Edition, edited by Rennard Strickland (The Michie Company)

These publications reflect the Corporation's activities in international affairs. The last three are part of a series:

Education, Race, and Social Change in South Africa, by John A. Marcum (University of California Press)

Two Decades of Debate: The Controversy Over U.S. Companies in South Africa, by David Hauck, Meg Voorhees, and Glenn Goldberg (Investor Responsibility Research Center)

Women and Politics in Barbados, by Kenneth O'Brien and Neville Duncan, Women in the Caribbean Project, Volume III (Institute of Social and Economic Research, University of the West Indies)

Perceptions of Caribbean Women, by Erna Brodber, Women in the Caribbean Project, Volume IV (Institute of Social and Economic Research, University of the West Indies)

Women and Education, edited by Joycelin Massiah, Women in the Caribbean Project, Volume V (Institute of Social and Economic Research, University of the West Indies)

Other Corporation-supported publications of special interest are:

Doing More With Less: Innovative Ideas for Reducing Costs in the School Nutrition Programs, by the Child Nutrition Forum (Food Research and Action Center)

International Competition in Advanced Technology: Decisions for America, A Consensus Statement Prepared by the Panel on Advanced Technology Competition and the Industrialized Allies, Office of International Affairs, National Research Council (National Academy Press)

Strengthening the Government-University Partnership in Science, Report of the Ad Hoc Committee on Government-University Relationships in Support of Science; Committee on Science, Engineering and Public Policy, National Academy of Sciences, National Academy of Engineering, and Institute of Medicine (National Academy Press)

Private Power for the Public Good: A History of The Carnegie Foundation for the Advancement of Teaching, by Ellen Condliffe Lagemann (Wesleyan University Press)

*The Report
of the Secretary*

The report of the secretary

On December 9, 1982, Alan J. Pifer retired as president of the Corporation after 17 years in that position. He was named president emeritus and senior consultant to the Corporation and is heading the Corporation's Project on an Aging Society, among other responsibilities.

David A. Hamburg became the ninth president of the Corporation on that same date. Dr. Hamburg, a trustee of the Corporation since 1979, was director of the Division of Health Policy Research and Education at Harvard University at the time of his appointment. Previously he had been president of the Institute of Medicine of the National Academy of Sciences and chairman of the Department of Psychiatry at Stanford University's School of Medicine. Dr. Hamburg received his undergraduate and M.D. degrees from Indiana University. He interned at Michael Reese Hospital in Chicago and took his residency in the Department of Psychiatry at Yale University's School of Medicine and later at Michael Reese. He is a graduate of the Institute for Psychoanalysis in Chicago. Dr. Hamburg is president-elect of the American Association for the Advancement of Science and a trustee of the Rockefeller University.

Richard B. Fisher joined the Corporation's board of trustees in February, filling the vacancy left when Dr. Hamburg assumed the presidency of the Corporation. Mr. Fisher was, at the time, a managing director of Morgan Stanley & Co., Incorporated, an investment banking firm, and directed the firm's Capital Markets Division.* He was also a member of the firm's Management Committee. Mr. Fisher holds the B.A. degree from Princeton University and the M.B.A. degree from the Harvard Graduate School of Business Administration. He is a member of the Board of Managers and chairman of the Finance Committee of the Ministers and Missionaries Benefit Board of the American Baptist Churches. In addition, he is a trustee of Teachers College, Columbia University, a member of the Trustees of the Princeton University Committee on Investments, a director of the Depository Trust Company, and a member of the Finance Committee of the United Hospital Fund.

**Mr. Fisher was appointed president of Morgan Stanley & Co., Incorporated, on January 1, 1984.*

At the annual meeting, Jack G. Clarke and John C. Whitehead, whose terms were due to expire, were reelected to four-year terms. John C. Taylor, 3rd, was reelected chairman of the board and Helene L. Kaplan was reelected vice chairman.

The trustees held regular board meetings on October 14 and December 9, 1982, and February 10, April 14, and June 23, 1983. A two-day retreat to permit in-depth discussion of the Corporation's programs was held at the Wye Plantation in Maryland on March 24 and 25, 1983.

During the year, the finance and administration committee consisted of Carl M. Mueller, chairman, John G. Gloster, Dr. Hamburg, Ms. Kaplan, Ann R. Leven, Mr. Taylor, and Mr. Whitehead. It met on October 26, 1982, and January 20, February 23, March 24, April 26, July 21, August 2, and September 22.

The nominating committee was composed of Margaret K. Rosenheim, chairman, Mr. Clarke, Cándido de León, Dr. Hamburg, and Ruth Simms Hamilton. It met on December 9, 1982, and June 23, 1983.

The agenda committee, an *ad hoc* committee of the board established in 1981, had as its members during the year Dr. Hamburg, Ms. Kaplan, Mary Louise Petersen, Anne Firor Scott, and Mr. Taylor. It met in conjunction with the meetings of the full board.

In June, David R. Hood resigned as director of the Corporation's International Program. Mr. Hood joined the staff in 1976 and was responsible for developing the Corporation's renewed activities relating to South Africa and to southern Africa. He is serving as a consultant to the Corporation on these issues.

Elena O. Nightingale was appointed special advisor to the president in July on a part-time basis. Dr. Nightingale is a senior scholar-in-residence at the Institute of Medicine of the National Academy of Sciences and maintains an office in Washington, D.C. She is also a visiting associate professor of social medicine and health policy at Harvard University Medical School and adjunct professor of pediatrics at the Georgetown University School of Medicine. A graduate of Barnard College, Dr. Nightingale holds a Ph.D. in microbial genetics from the Rockefeller University and a M.D. degree from the New York University School of Medicine.

Susan V. Smith joined the staff in January as administrative assistant to the president. She was previously administrative secretary in the office of the president at the Institute of Medicine of the National Academy of Sciences.

Eleanor Lerman, editorial associate at the foundation, left in July to become the account coordinator for Dillon, Agnew & Marton, an international magazine marketing firm. Ms. Lerman had joined the editorial staff of the Corporation in 1977. Linda A. Lange, who had been a secretary in the publications office since 1980, was named editorial assistant in April.

*The Report
of the Treasurer*

The report of the treasurer

The annual financial statements and additional financial tabulations for Carnegie Corporation of New York appear on pages 75 through 103. The following comments highlight and supplement the information presented therein. Readers of previous annual reports should note that this year's balance sheet and principal fund statement present for the first time investment asset figures on a market value basis. Prior-year figures on the statements have been adjusted accordingly.

Investment matters

The Corporation's principal investment objective is to achieve long-term total return, consisting of capital appreciation as well as dividend and interest income, sufficient to maintain the purchasing power of the endowment while continuing to support the program activities of the Corporation. To monitor experience relative to this objective, a monthly index of total return on the main portfolio is calculated. The index shows a total return of 39.1 percent for the year ended September 30, 1983.

On September 30, 1983, the market value of the Corporation's investments was \$515.7 million, compared with \$380.7 million at the end of fiscal 1982. This substantial gain offsets — but does not totally compensate for — the erosion in real value of the portfolio that has occurred over the past ten years as a result of the high rate of inflation that prevailed. To illustrate, the investment portfolio total return for the ten years ended September 30, 1983, has been 10.2 percent compounded annually. The increase in the Consumer Price Index over the same period, also compounded annually, has been 8.3 percent. The difference of 1.9 percent per annum (the real rate of return) has therefore been far short of the 5 percent to 6 percent return necessary to maintain the purchasing power of the portfolio and support the programmatic activities and administrative expenses of the Corporation, which together averaged 5.7 percent per year of market value during the period.

The table below shows the composition of investment assets on September 30, 1983, together with net realized gains on transactions during the year.

<i>Investment assets on September 30, 1983</i>	Market value	Percent of total	Net realized gain on investments
Main portfolio:			
Equities			
Common stocks	\$319,104,880	61.9%	\$59,388,075
Convertible securities	14,673,414	2.9	501,709
Fixed income securities			
Short term	39,864,975	7.7	—
Intermediate and long term	106,178,189	20.6	7,366,420
Limited partnerships	24,929,446	4.8	3,253,879
Other	10,958,148	2.1	2,444,276
	<u>\$515,709,052</u>	<u>100.0%</u>	<u>\$72,954,359</u>

The Corporation has taken steps to increase the diversification of its investments and to supplement, if possible, the rates of return available from its broadly diversified holding of equities and fixed-income investments. Beginning in the 1979-80 fiscal year, the Corporation initiated a series of investments in venture capital funds. More recently, the Corporation has also made investments in income-producing real estate through limited partnerships organized to acquire individual properties, or through limited partnerships and real estate investment trusts which each hold a diversified portfolio of real estate investments.

The great majority of the Corporation's investment assets, however, will remain in publicly traded equity and fixed-income securities, for which the Corporation's trustees delegate decisions on individual purchases and sales to investment managers who operate within investment policies and standards set by the trustees. The finance and administration committee of the board of trustees periodically reviews and ratifies all purchase and sale transactions and holds regular meetings with the investment managers.

While delegating authority for individual investment decisions to outside managers, the trustees retain ultimate responsibility for investment policy, including policy relating to the public responsibilities of the corporations represented in the investment portfolio. To facilitate the application of policy to specific circumstances raised by corporate proxy resolutions, the trustees have endorsed the following voting procedures:

The Corporation's treasurer receives and reviews all proxy statements and votes proxies of a routine nature.

Proxy statements which contain resolutions related to corporate governance or public responsibility are referred to the finance and administration committee which then decides, on behalf of the full board of trustees, how the proxies will be voted.

Trustee action on proxy issues is not limited to a positive or negative vote on each proposal, however. It may involve written or oral communication with senior officers of corporations whose securities are held in the Corporation's portfolio.

The Corporation's income

The income from investments for the year ended September 30, 1983, was \$28,199,910, compared with \$22,706,350 the preceding year, reflecting a substantial increase in fixed-income investments which has occurred over the past two years. During that period the market value of fixed-income investments has increased from \$45,730,410 to \$146,043,164, primarily as a consequence of purchases in that asset category.

Appropriations and expenditures

A total of \$13,293,284 was appropriated in fiscal 1983 for the United States and international programs. A complete list of grant appropriations is shown on pages 81 through 103.

Any balance held by a grantee after a project has been completed or terminated is customarily refunded to the Corporation. Refunds and cancellations are listed on page 103 as adjustments of appropriations and amounted to \$62,203 for the year ended September 30, 1983.

The general administration and program management expenditures, as shown on page 80, were \$3,338,610 in fiscal 1983, compared with \$3,169,431 in the previous fiscal year.

Under the provisions of the Tax Reform Act of 1969, Carnegie Corporation is subject to a federal excise tax on investment income and realized capital gains. For the year, the Corporation's estimated federal tax liability was \$1,985,996, a sum which otherwise would have been available for philanthropic grants.

Ten-year financial summary (in thousands)

Fiscal year ended September 30	Market value of investments at year end	Investment income	Appropriations for grants—net	All other expenditures net of miscellaneous income	Excess (deficiency) of income over expenditures
1983	\$515,709.1	\$28,199.9	\$13,287.3	\$4,894.9	\$10,017.7
1982	380,698.9	22,706.4	14,331.9	4,437.3	3,937.2
1981	334,998.6	17,880.0	12,333.9	3,618.4	1,927.7
1980	345,502.1	19,246.0	11,576.8	3,251.6	4,417.6
1979	294,487.2	19,225.0	12,225.8	3,115.8	3,883.4
1978	284,500.7	17,058.8	11,844.9	2,800.3	2,413.6
1977	271,999.6	15,155.9	12,529.2	3,112.2	(485.5)
1976	280,134.1	13,312.3	12,802.2	3,185.7	(2,675.6)
1975	239,886.5	11,627.3	13,564.8	2,835.9	(4,773.4)
1974	198,948.8	10,674.2	15,577.6	2,527.7	(7,431.1)

Audit by independent accountants

The bylaws provide that the Corporation's accounts are to be audited each year by an independent public accountant. Accordingly, the firm of Peat, Marwick, Mitchell & Co. examined the Corporation's financial statements for 1982-83. The Corporation's financial statements and related schedules, together with a report of Peat, Marwick, Mitchell & Co., appear in the following pages.

Opinion of independent accountants

The Board of Trustees
Carnegie Corporation of New York:

We have examined the balance sheets of Carnegie Corporation of New York as of September 30, 1983 and 1982, and the related statements of changes in fund balances for the years then ended. Our examinations were made in accordance with generally accepted auditing standards, and accordingly included such tests of the accounting records and such other auditing procedures as we considered necessary in the circumstances.

In our opinion, the aforementioned financial statements present fairly the financial position of Carnegie Corporation of New York at September 30, 1983 and 1982, and the changes in its fund balances for the years then ended, in conformity with generally accepted accounting principles consistently applied during the period subsequent to the change, with which we concur, made as of October 1, 1981, in the method of accounting for investments as described in note 2 to the financial statements.

Our examinations were made for the purpose of forming an opinion on the basic financial statements taken as a whole. The supplementary information included in the schedules on pages 79 through 81 is presented for purposes of additional analysis and is not a required part of the basic financial statements. Such information has been subjected to the auditing procedures applied in the examinations of the basic financial statements and, in our opinion, is fairly stated in all material respects in relation to the basic financial statements taken as a whole.

Peat, Marwick, Mitchell & Co.

New York, New York
October 28, 1983

Balance sheets*September 30, 1983 and 1982*

	1983	1982
Assets		
Investments, at market — note 2		
Equities	\$333,778,294	\$236,744,764
Fixed income	146,043,164	125,257,031
Limited partnership interests	24,929,446	12,786,824
Other	<u>10,958,148</u>	<u>5,910,290</u>
	515,709,052	380,698,909
Cash	1,209,104	679,785
Program-related investments (net of allowance for possible losses of \$346,250 in 1983 and \$290,000 in 1982)	<u>346,250</u>	<u>290,000</u>
Total assets	<u><u>\$517,264,406</u></u>	<u><u>\$381,668,694</u></u>
Liabilities and fund balances		
Liabilities		
Unpaid appropriations	\$12,553,428	\$12,676,356
Federal excise tax payable		
Current	1,985,996	806,860
Deferred	<u>2,011,500</u>	<u>951,163</u>
Total liabilities	<u>16,550,924</u>	<u>14,434,379</u>
Fund balances		
Income	—	—
Principal	<u>500,713,482</u>	<u>367,234,315</u>
Total fund balances	<u>500,713,482</u>	<u>367,234,315</u>
Total liabilities and fund balances	<u><u>\$517,264,406</u></u>	<u><u>\$381,668,694</u></u>

See accompanying notes to financial statements.

Statements of changes in fund balances
for the years ended September 30, 1983 and 1982

Income fund	1983	1982
Income		
Interest and dividends	\$28,199,910	\$22,706,350
Less investment expenditures	<u>1,102,831</u>	<u>887,502</u>
Net investment income	27,097,079	21,818,848
Other	<u>73,138</u>	<u>56,043</u>
Total income	<u>27,170,217</u>	<u>21,874,891</u>
Expenditures		
Provision for federal excise tax	526,588	436,357
General administration and program management— notes 3 & 4	3,338,610	3,169,431
Grant appropriations (net of refunds and cancellations of \$49,719 in 1983 and \$58,674 in 1982)	11,712,891	14,046,532
Appropriations for studies and projects administered by the officers (net of cancellations of \$12,484 in 1983 and \$21,205 in 1982)	1,518,190	295,383
Provision for possible losses on program-related investments	<u>56,250</u>	<u>(10,000)</u>
Total expenditures	<u>17,152,529</u>	<u>17,937,703</u>
Excess of income over expenditures	10,017,688	3,937,188
Transfer to principal fund	<u>(10,017,688)</u>	<u>(3,937,188)</u>

See accompanying notes to financial statements.

Principal fund	1983	1982
Expendable:		
Balance at beginning of year	\$231,897,447	\$162,694,638
Additions and deductions		
Net gain on investment transactions	72,954,359	19,028,088
Net realized gain on recovery of reversionary interests	9,866	2,249
Less applicable federal excise tax	(1,459,284)	(371,685)
Unrealized appreciation of investments over carrying value, net of deferred federal excise tax of \$1,060,338 in 1983 and \$452,387 in 1982	51,956,538	22,166,981
Cumulative effect of change in accounting, net of deferred federal excise tax of \$498,775 — note 2	—	24,439,988
Transferred from income fund	10,017,688	3,937,188
Total expendable, end of year	<u>365,376,614</u>	<u>231,897,447</u>
Nonexpendable (balance at beginning and end of year):		
Endowment	125,000,000	125,000,000
Legacy	<u>10,336,868</u>	<u>10,336,868</u>
Total nonexpendable	<u>135,336,868</u>	<u>135,336,868</u>
Total principal fund balance	<u><u>\$500,713,482</u></u>	<u><u>\$367,234,315</u></u>

See accompanying notes to financial statements.

Notes to financial statements

September 30, 1983 and 1982

(1) Summary of significant accounting policies:

The accompanying financial statements have been prepared substantially on the accrual basis of accounting and accordingly reflect all significant receivables and payables. However, investment income is recorded on a cash-collected basis, and fixed asset acquisitions are not capitalized but are charged against income in the year acquired. These two exceptions to the accrual basis of accounting have no material effect on the financial position or the changes in fund balances.

The resources of the Corporation are accounted for in two funds — income and principal. The principal fund consists of nonexpendable and expendable resources. Nonexpendable resources were received from Andrew Carnegie who by the terms of the conveying instrument stipulated that the principal may never be expended. Expendable resources represent net realized gains and losses on investment transactions and reversionary interests which are available to support activities in accordance with the provisions of the New York State Not-for-Profit Corporation Law.

(2) Change in accounting:

During the fiscal year ended September 30, 1983, the Corporation adopted the practice of accounting for investments at market value, and this change in accounting has been reflected in the accompanying financial statements as of October 1, 1981. Previously, investments were reflected at cost or equity in the case of limited partnership interests. The cumulative effect of the accounting changes for years prior to 1982 amounted to \$24,439,988, net of deferred federal excise tax and has been reported separately in the statements of changes in fund balances.

(3) Retirement plans:

The Corporation purchases annuities for employees under the terms of a noncontributory, defined contribution retirement plan with Teachers Insurance and Annuity Association and College Retirement Equities Fund. Retirement plan expenses for the years ended September 30, 1983 and 1982 were \$278,628 and \$241,623, respectively.

In addition, the Corporation has established a noncontributory supplemental annuity plan, which is administered by Teachers Insurance and Annuity Association and College Retirement Equity Fund. The contributions to this plan for the years ended September 30, 1983 and 1982 were \$86,500 and \$85,000, respectively.

(4) Lease:

The Corporation leases office space under a 20-year lease expiring March 31, 1988. The basic annual rental is \$136,013 and is subject to escalation provisions for maintenance and taxes. Rental expense for 1983 and 1982 was \$350,010 and \$335,077, respectively.

Summary of investments held and income from investments*
for the year ended September 30, 1983

	Tax basis**	Market value	Excess of market value over tax basis	Income
Equities				
Common stocks	\$236,126,696	\$319,104,880	\$82,978,184	\$11,553,607
Convertible securities	12,517,402	14,673,414	2,156,012	300,589
Fixed income securities				
Short term	39,660,584	39,864,975	204,391	2,597,420
Intermediate and long term	101,407,339	106,178,189	4,770,850	12,270,252
Limited partnership interests	17,145,926	24,929,446	7,783,520	1,284,448
Other	8,276,097	10,958,148	2,682,051	193,594
	<u>\$415,134,044</u>	<u>\$515,709,052</u>	<u>\$100,575,008</u>	<u>\$28,199,910</u>

*A complete listing of securities is available upon written request.

**Tax basis is cost, except for limited partnership investments, which are carried at equity.

**Schedule of general administration, program management,
and investment expenditures for the year ended September 30, 1983,
with comparative totals for the year ended September 30, 1982**

	1983			1982
	General administration and program management expenditures	Investment expenditures	Total	Total
Salaries	\$1,641,787	\$90,940	\$1,732,727	\$1,566,807
Investment advisory and custody fees	—	913,606	913,606	716,129
Employee benefits — note 3	616,126	32,520	648,646	534,342
Rent — note 4	331,484	18,526	350,010	335,077
Travel	140,014	—	140,014	112,357
Quarterly and annual reports	107,963	—	107,963	152,630
Trustees' honoraria and expenses	92,747	8,670	101,417	122,881
Office equipment, services, and supplies	91,587	5,119	96,706	73,140
Postage, telephone, and messenger services	66,766	3,731	70,497	61,954
Computer	60,161	3,362	63,523	111,819
Conferences and meetings	57,975	3,240	61,215	45,094
Consultants	36,271	—	36,271	39,124
Legal and accounting services	13,794	19,935	33,729	50,881
Copying and duplicating	25,515	1,426	26,941	23,282
Membership fees	25,000	—	25,000	20,000
Books and periodicals	15,965	892	16,857	13,595
Pensions	—	—	—	43,267
Miscellaneous	15,455	864	16,319	34,554
	<u>\$3,338,610</u>	<u>\$1,102,831</u>	<u>\$4,441,441</u>	<u>\$4,056,933*</u>

*Includes \$887,502 of investment expenditures.

Schedule of appropriations and payments*
for the year ended September 30, 1983

Summary of grant appropriations and payments

	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
For United States purposes	\$11,061,510	\$11,270,721	\$12,267,017	\$10,065,214
For international purposes	701,100	1,153,971	844,569	1,010,502
	<u>11,762,610</u>	<u>\$12,424,692</u>	<u>\$13,111,586</u>	<u>\$11,075,716</u>
Less refunds and cancellations	49,719			
	<u>\$11,712,891</u>			

Summary of appropriations for studies and projects administered by the officers

	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
For United States purposes	\$1,506,929	\$243,395	\$296,357	\$1,453,967
For international purposes	23,745	8,269	8,269	23,745
	<u>1,530,674</u>	<u>\$251,664</u>	<u>\$304,626</u>	<u>\$1,477,712</u>
Less refunds and cancellations	12,484			
	<u>\$1,518,190</u>			

*This schedule shows all payments made during the fiscal year 1982-83 from appropriations of that year and the preceding years.

Appropriations and payments—United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
Academy of Independent Scholars 970 Aurora Boulder, Colorado 80302 <i>Support—\$75,000 (1982)</i>		\$37,500	\$37,500	
Advocates for Children of New York 24-16 Bridge Plaza South Long Island City, New York 11101 <i>Assessment of leadership and organizational needs</i>	\$5,400		5,400	
<i>Training and advocacy on education of the handicapped in the New York City school system—\$165,000 (1982)</i>		82,500	82,500	
African-American Institute 833 United Nations Plaza New York, New York 10017 <i>Program on policy issues in African-American relations \$202,400 (1982)</i>		135,734	66,666	\$69,068
Alabama Center for Higher Education 2121 Eighth Avenue, N. Birmingham, Alabama 35203 <i>Evaluation of the consortium</i>	10,000		10,000	
Alliance of Independent Colleges of Art 633 E Street, N.W. Washington, D.C. 20004 <i>Cooperative activities—\$183,000 (1980)</i>		24,000	24,000	
American Association for Higher Education One Dupont Circle, N.W. Washington, D.C. 20036 <i>Production and promotion of a book on strategic planning in higher education</i>	14,900		14,900	
<i>Center for Learning and Telecommunications—\$370,000 (1982)</i>		270,000	100,000	170,000
American Civil Liberties Union Foundation 132 West 43rd Street New York, New York 10036 <i>Research and information program on the Voting Rights Act</i>	200,000		100,000	100,000
American Council of Learned Societies 228 East 45th Street New York, New York 10017 <i>Fellowships—\$500,000 (1982)</i>		500,000	100,000	400,000
American Council on Education One Dupont Circle, N.W. Washington, D.C. 20036				

Appropriations and payments — United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
<i>National Student Aid Coalition — \$100,000 (1981)</i>		50,000	50,000	
<i>National Identification Program of the Office of Women in Higher Education — \$192,000 (1982)</i>		90,000	90,000	
American Friends Service Committee 1501 Cherry Street Philadelphia, Pennsylvania 19102 <i>Title I Parent Advisory Council Project of the Southeastern Public Education Program — \$355,450 (1981)</i>		75,840	75,840	
American Library Association 50 East Huron Street Chicago, Illinois 60611 <i>Establishment of a Business Council for Libraries</i>	15,000		15,000	
American Psychological Association 1200 Seventeenth Street, N.W. Washington, D.C. 20036 <i>Conference on education and training in health psychology</i>	15,000		15,000	
Arkansas Advocates for Children and Families 203 Donaghey Building Seventh and Main Little Rock, Arkansas 72201 <i>Activities to improve services to children and families — \$45,000 (1981)</i>		12,000	12,000	
Aspen Institute for Humanistic Studies 717 Fifth Avenue New York, New York 10022 <i>Study project on U.S. policy options in developing countries</i>	50,000		50,000	
Associated Colleges of the St. Lawrence Valley Raymond Hall State University of New York at Potsdam Potsdam, New York 13676 <i>Curricular cooperation among member institutions — \$157,500 (1982)</i>		86,750	86,750	
Association for Community Based Education 1806 Vernon Street, N.W. Washington, D.C. 20009 <i>Technical assistance and the development of evaluative criteria for member institutions — \$234,900 (1981)</i>		48,815	48,815	

Appropriations and payments — United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
Association of American Colleges 1818 R Street, N.W. Washington, D.C. 20009 <i>Project on the Status and Education of Women — \$300,000 (1982)</i>		200,000	100,000	100,000
Association of Governing Boards of Universities and Colleges One Dupont Circle, N.W. Washington, D.C. 20036 <i>Project on presidential leadership in American colleges and universities — \$283,000 (1981)</i>		147,000	147,000	
Atlanta University Center 360 Westview Drive, S.W. Atlanta, Georgia 30310 <i>Support — \$375,000 (1982)</i>		280,000	140,000	140,000
Bank Street College of Education 610 West 112th Street New York, New York 10025 <i>Exploration of the uses of tool software in schools</i>	155,000		76,000	79,000
Bay Area Research Group 576 Cambridge Avenue Palo Alto, California 94306 <i>Working meeting on school improvement efforts</i>	14,500		14,500	
<i>Study of school-based, school-wide reform projects — \$148,000 (1981)</i>		33,277	33,277	
Brookline, Public Schools of Brookline, Massachusetts 02146 <i>Brookline Early Education Project — \$400,000 (1981)</i>		80,554	80,554	
California Rural Legal Assistance Foundation 1900 K Street Sacramento, California 95814 <i>Education advocacy on behalf of Chicanos in the public schools — \$265,000 (1982)</i>		192,500	132,500	60,000
California, University of, Berkeley Berkeley, California 94720 <i>Dissemination of programs to promote mathematics education for women and minorities</i>	536,100		113,215	422,885
<i>National Writing Project — \$215,000 (1982)</i>		146,500	146,500	

Appropriations and payments — United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
California, University of, Los Angeles Los Angeles, California 90024 <i>Study of child development in alternative life styles — \$302,870 (1982)</i>		151,130	151,130	
California, University of, San Diego La Jolla, California 92093 <i>Research on situational and subcultural variations in the development of cognitive skills — \$300,000 (1979)</i>		60,000	60,000	
Carnegie Foundation for the Advancement of Teaching 5 Ivy Lane Princeton, New Jersey 08540 <i>Study of American high schools — \$300,000 (1981)</i>		65,000	65,000	
Carnegie Institution of Washington 1530 P Street, N.W. Washington, D.C. 20005 <i>Postdoctoral fellowships in the natural sciences — \$625,000 (1982)</i>		500,000	125,000	375,000
Carnegie-Mellon University 5000 Forbes Avenue Pittsburgh, Pennsylvania 15213 <i>Consortium to develop educational applications for an information technology system in higher education</i>	1,060,000		164,150	895,850
Center for Community Change 1000 Wisconsin Avenue, N.W. Washington, D.C., 20007 <i>Leadership development in community-based organizations — \$375,000 (1981)</i>		187,500	125,000	62,500
Center for Law and Education Gutman Library, 6 Appian Way Cambridge, Massachusetts 02138 <i>Multicultural education training and advocacy project — \$220,000 (1982)</i>	(128,179)*	174,070	45,891	
Children's Defense Fund 122 C Street, N.W. Washington, D.C. 20001 <i>Support — \$1,000,000 (1982)</i>		500,000	250,000	250,000
Children's Foundation 1420 New York Avenue, N.W. Washington, D.C. 20005				

*Transferred to Massachusetts Advocacy Center

Appropriations and payments — United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
<i>Support</i>	15,000		15,000	
<i>Family day care advocacy</i>	225,000		75,000	150,000
Children's Museum 300 Congress Street Boston, Massachusetts 02210				
<i>Replication and dissemination of educational programs for young children and their parents</i>	80,260			80,260
<i>Pilot educational program for young children and their parents — \$201,700 (1981)</i>		52,450	52,450	
Citizens' Council for Ohio Schools 451 The Arcade Cleveland, Ohio 44114				
<i>Children Out of School Project — \$108,000 (1982)</i>		70,400	40,500	29,900
Claremont University Center Claremont, California 91711				
<i>Study of the American professoriate</i>	87,000		87,000	
Coalition of Labor Union Women Center for Education and Research 2000 P Street, N.W. Washington, D.C. 20036				
<i>Leadership training program for union women — \$235,000 (1982)</i>		104,925	104,925	
Columbia University New York, New York 10027				
<i>Study of child-care services and planning for a study of social policy — \$141,000 (1981)</i>		27,105	27,105	
Conference Board 845 Third Avenue New York, New York 10022				
<i>Work and Family Information Center</i>	180,000		60,000	120,000
Consortium for Mathematics and Its Applications 271 Lincoln Street Lexington, Massachusetts 02173				
<i>Telecourse on mathematics and its applications</i>	300,000		150,000	150,000
Cornell University Ithaca, New York 14853				
<i>Study of the implementation of family support programs — \$246,550 (1981)</i>		96,550	96,550	

Appropriations and payments — United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
Council of Chief State School Officers 400 North Capitol Street Washington, D.C. 20001 <i>Resource Center on Sex Equity — \$256,000 (1979)</i>	157,000	58,637	58,637	157,000
Council of Independent Colleges One Dupont Circle, N.W. Washington, D.C. 20036 <i>Technical assistance to liberal arts colleges — \$350,750 (1982)</i>	41,500	175,375	175,375	41,500
Council on Foundations 1828 L Street, N.W. Washington, D.C. 20036 <i>Committee for International Grantmakers</i>	15,000		15,000	
<i>Support over a five-year period</i>	150,000		150,000	
Council on Library Resources 1785 Massachusetts Avenue, N.W. Washington, D.C. 20036 <i>Programs to improve the management of research libraries — \$500,000 (1977)</i>		202,000	70,000	132,000
<i>Development of a national computerized bibliographic system for research libraries — \$600,000 (1978)</i>		200,000	100,000	100,000
<i>Program of education and management training in the research library field — \$450,000 (1981)</i>		230,000	150,000	80,000
Denver, University of Denver, Colorado 80208 <i>Research on the development of social-cognitive skills in preschool children — \$168,730 (1981)</i>	15,000	58,520	58,520	15,000
Designs for Change 220 South State Street Chicago, Illinois 60604 <i>Follow-up to a study of school-related advocacy groups and the Midwest School Improvement Project — \$140,000 (1980)</i>		50,000		50,000
Editorial Projects in Education 1333 New Hampshire Avenue, N.W. Washington, D.C. 20036 <i>Promotion and marketing of Education Week</i>	300,000		200,000	100,000

Appropriations and payments — United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
Education Commission of the States 1860 Lincoln Street Denver, Colorado 80295 <i>Support of the Law and Education Center</i>	173,000		83,000	90,000
Educational Products Information Exchange Institute P.O. Box 839 Water Mill, New York 11976 <i>Development of consumer publications on education-related computer hardware and software</i>	200,000		200,000	
Equality Center 2233 Wisconsin Avenue, N.W. Washington, D.C. 20007 <i>Study and discussion of new approaches to civil rights policy in education</i>	210,000		128,000	82,000
Equity Policy Center 1525 Eighteenth Street, N.W. Washington, D.C. 20036 <i>Study of the impact of the Percy Amendment to the Foreign Assistance Act of 1961</i>	15,000		7,500	7,500
Federation of Child Care Centers of Alabama 3703 Cleveland Avenue Montgomery, Alabama 36101 <i>Advocacy, technical assistance, and training for child care centers</i>	120,000		50,000	70,000
Feminist Press Box 334 Old Westbury, New York 11568 <i>Publication of Everywoman's Guide to Colleges and Universities — \$200,000 (1982)</i>		60,000		60,000
Five Colleges Box 740 Amherst, Massachusetts 01004 <i>Academic Cooperation Development Fund — \$150,000 (1982)</i>		100,000	100,000	
Foreign Policy Study Foundation 320 East 43rd Street New York, New York 10017 <i>Development and distribution of educational materials on South Africa to American high schools</i>	30,000		30,000	

Appropriations and payments—United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
Foundation Center 888 Seventh Avenue New York, New York 10106 <i>Support—\$150,000 (1981)</i>		50,000	50,000	
Gordon Research Conferences University of Rhode Island Gordon Research Center Kingston, Rhode Island 02881 <i>Conference on the cellular and molecular aspects of neural plasticity</i>	15,000		15,000	
Greater Washington Educational Telecommunications Association Box 2626 Washington, D.C. 20013 <i>Pilot program for a series on U.S. policies and the developing world</i>	15,000		15,000	
Harvard University Cambridge, Massachusetts 02138 <i>Research and education on the avoidance of nuclear war</i>	494,100		247,050	247,050
<i>Research on the development of symbolic abilities in young children—\$230,000 (1982)</i>		158,500	76,500	82,000
High/Scope Educational Research Foundation 600 North River Street Ypsilanti, Michigan 48197 <i>Center for the Study of Public Policies for Young Children</i>	208,000		104,000	104,000
<i>Research, policy studies, and dissemination of information on early childhood education—\$498,000 (1981)</i>		98,000	98,000	
Hispanic American Career Educational Resources 115 West 30th Street New York, New York 10001 <i>Hispanic Women's Center—\$227,000 (1982)</i>		145,000	75,000	70,000
Hood College Frederick, Maryland 21701 <i>Development of a handbook of programs and policies to promote sex equity in colleges and universities</i>	115,700		115,700	
Illinois, University of, at Chicago Circle Box 4348 Chicago, Illinois 60680				

Appropriations and payments — United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
<i>Development of the Doctor of Arts program and fellowships — \$65,000 (1975)</i>		21,666	21,666	
Independent Sector 1828 L Street, N.W. Washington, D.C. 20036 <i>Amicus brief in the appeal to the Supreme Court of Taxation with Representation v. Donald T. Regan</i>	15,000		15,000	
Indiana University P.O. Box 1847 Bloomington, Indiana 47405 <i>Seminar series on African independence and U.S. policy toward Africa since 1957</i>	10,000		10,000	
International University Consortium for Telecommunications in Learning College Park, Maryland 20742 <i>Support — \$737,250 (1982)</i>		625,967	480,407	145,560
Interuniversity Communications Council EDUCOM, P.O. Box 364 Princeton, New Jersey 08540 <i>Computer-based, intercampus mail system — \$162,500 (1982)</i>		80,000	80,000	
Johns Hopkins University Baltimore, Maryland 21218 <i>Conferences on Africa of American legislators with British parliamentarians and African leaders — \$106,600 (1971)</i>		7,956		7,956
Judge Baker Guidance Center 295 Longwood Avenue Boston Massachusetts 02115 <i>Writing on the relationship between culture and child development</i>	54,850		54,850	
Lawyers' Committee for Civil Rights Under Law 733 15th Street, N.W. Washington, D.C. 20005 <i>Voting Rights Project</i>	200,000		100,000	100,000
<i>Federal Education Project — \$510,000 (1982)</i>		269,100	269,100	

Appropriations and payments—United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
Massachusetts Advocacy Center 2 Park Square Boston, Massachusetts 02116 <i>Multicultural educational training and advocacy project</i>	128,179*		65,335	62,844
<i>Public education advocacy</i>	300,000		125,000	175,000
Massachusetts, Commonwealth of Department of Education 1385 Hancock Street Quincy, Massachusetts 02169 <i>Commonwealth Inservice Institute—\$300,000 (1982)</i>		50,000	50,000	
Massachusetts Institute of Technology Cambridge, Massachusetts 02139 <i>Minority Introduction to Engineering Program</i>	15,000		15,000	
Massachusetts, University of, Boston Harbor Campus Boston, Massachusetts 02125 <i>Study of the mission of public universities</i>	40,000		40,000	
Mental Health Law Project 2021 L Street, N.W. Washington, D.C. 20036 <i>Education advocacy on behalf of handicapped children—\$200,000 (1982)</i>		100,000	100,000	
Mexican American Legal Defense and Educational Fund 28 Geary Street San Francisco, California 94108 <i>Program of education litigation and advocacy—\$511,300 (1981)</i>		170,600	170,600	
Minnesota Early Learning Design 123 East Grant Street Minneapolis, Minnesota 55403 <i>Information and peer support system for new parents—\$234,000 (1981)</i>		35,000	35,000	
Minnesota, University of 100 Church Street, S.E. Minneapolis, Minnesota 55455 <i>Meetings and publications in preparation for the 1985 U.N. Decade for Women conference</i>	30,000**		7,500	22,500

*Funds transferred from the Center for Law and Education (\$220,000, 1982)

**Grant appropriated in part from international funds. See p. 100.

Appropriations and payments — United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
Mississippi Action for Community Education 121 South Harvey Street Greenville, Mississippi 38701 <i>Leadership training program — \$376,850 (1982)</i>		250,250	126,010	124,240
NAACP Special Contribution Fund 186 Remsen Street Brooklyn, New York 11201 <i>School Desegregation Program — \$575,000 (1980)</i>		210,000	210,000	
<i>Technical and legal assistance in the political reapportionment process — \$60,000 (1982)</i>		30,000	30,000	
National Academy of Sciences 2101 Constitution Avenue Washington, D.C. 20418 <i>Studies of important national issues — \$450,000 (1982)</i>		300,000		300,000
National Association for the Education of Young Children 1834 Connecticut Avenue, N.W. Washington, D.C. 20009 <i>Feasibility study for a clearinghouse on child-care information</i>	14,000		14,000	
National Black Child Development Institute 1463 Rhode Island Avenue, N.W. Washington, D.C. 20005 <i>Support — \$300,000 (1982)</i>		200,000	100,000	100,000
National Coalition of Advocates for Students 76 Summers Street Boston, Massachusetts 02110 <i>Support — \$75,000 (1982)</i>		37,500	37,500	
National Committee for Responsive Philanthropy 810 18th Street, N.W. Washington, D.C. 20006 <i>Support — \$150,000 (1982)</i>		100,000	45,000	55,000
National Conference on Social Welfare 1730 M Street, N.W. Washington, D.C. 20036 <i>Study of the social welfare role of the federal government</i>	15,000		15,000	
National Council of the Churches of Christ in the U.S.A. 475 Riverside Drive New York, New York 10115				

Appropriations and payments—United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
<i>Study of, and development of materials for, child-care programs in church facilities—\$250,000 (1981)</i>		50,000	50,000	
National Governors' Association Center for Policy Research 444 North Capitol Street Washington, D.C. 20001 <i>Symposium on improving the well-being of American children</i>	20,000		20,000	
National Information Bureau 419 Park Avenue South New York, New York 10016 <i>Support over a three-year period</i>	7,500		7,500	
National Institute for Work and Learning 1211 Connecticut Avenue, N.W. Washington, D.C. 20036 <i>Policy analysis and technical assistance on the application of information technologies to education—\$213,200 (1982)</i>		79,840	79,840	
National Puerto Rican Coalition 701 North Fairfax Street Alexandria, Virginia 22314 <i>Public policy and research unit</i>	175,000		100,000	75,000
National Student Educational Fund 2000 P Street, N.W. Washington, D.C. 20036 <i>Student Leadership Training Project—\$250,000 (1982)</i>		95,000	70,000	25,000
National Urban Coalition 1201 Connecticut Avenue, N.W. Washington, D.C. 20036 <i>Support and technical assistance to community groups involved in school finance activities—\$343,530 (1975)</i>		28,558	28,558 ^a	
National Women's Education Fund 1410 Q Street, N.W. Washington, D.C. 20009 <i>Public leadership training for women—\$225,000 (1981)</i>		50,000	50,000	
National Women's Law Center 1751 N Street, N.W. Washington, D.C. 20036 <i>Training and assistance for lawyers on sex discrimination in educational programs</i>	223,000		111,500	111,500
Native American Rights Fund 1506 Broadway Boulder, Colorado 80302				

Appropriations and payments — United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
<i>Internship program for recent Indian law graduates</i>	218,350		53,385	164,965
New York, Board of Education of the City of 110 Livingston Street Brooklyn, New York 11201 <i>School Improvement Project — \$175,000 (1980)</i>		43,750		43,750
New York, State University of 1400 Washington Avenue Albany, New York 12222 <i>Research and training by the Center for Women in Government — \$271,200 (1982)</i>		117,600	117,600	
New York, University of the State of Albany, New York 12234 <i>Research on the uses of tests of reading ability — \$500,000 (1981)</i>		115,000	115,000	
New York Urban Coalition 1515 Broadway New York, New York 10026 <i>Local School Development Project</i>	333,300		117,020	216,280
NOW Legal Defense and Education Fund 132 West 43rd Street New York, New York 10036 <i>Project on Equal Education Rights — \$425,000 (1981)</i>		175,000	125,000	50,000
Pittsburgh, University of Pittsburgh, Pennsylvania 15213 <i>Research on the social functions of educational testing — \$385,000 (1978)</i>		64,402	64,402	
Public Education Association 20 West 40th Street New York, New York 10018 <i>Research and advocacy on the education of the handicapped in the New York City school system — \$150,000 (1982)</i>		71,927	71,927	
Puerto Rican Legal Defense and Education Fund 95 Madison Avenue New York, New York 10016 <i>Education Rights Project</i>	390,000		65,000	325,000
Radcliffe College 10 Garden Street Cambridge, Massachusetts 02138				

Appropriations and payments — United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
<i>Fellowship program at the Mary Ingraham Bunting Institute for nontenured faculty women from research universities — \$273,150 (1979); \$326,740 (1982)</i>		48,045 326,740	48,045 59,160	267,580
Randolph, A. Philip, Educational Fund 260 Park Avenue South New York, New York 10010 <i>Internship program for black labor unionists — \$150,000 (1980)</i>		50,000		50,000
Research Libraries Group Jordan Quadrangle Stanford, California 94305 <i>Planning for decentralized operation of its computing system</i>	250,000		250,000	
Russell Sage Foundation 112 East 64th Street New York, New York 10021 <i>Study of women in higher education</i>	145,000			145,000
Rutgers University Old Queens Building New Brunswick, New Jersey 08903 <i>Study of the consequences of employment discrimination litigation in higher education</i>	74,800		47,000	27,800
<i>National forum for women state legislators under the auspices of the Center for the American Woman and Politics</i>	95,000		95,000	
<i>Conference and program for women state legislators under the auspices of the Center for the American Woman and Politics — \$177,500 (1981)</i>		30,000	30,000	
San Francisco Lawyers' Committee for Urban Affairs 625 Market Street San Francisco, California 94105 <i>National Child Care Law Project</i>	212,800		106,100	106,700
Southern Coalition for Educational Equity P. O. Box 22904 Jackson, Mississippi 39205 <i>New Orleans Effective Schools Project</i>	375,000		81,110	293,890
Southern Education Foundation 811 Cypress Street, N.E. Atlanta, Georgia 30308 <i>Public policy and education program</i>	115,000		56,150	58,850

Appropriations and payments — United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
Southern Regional Council 161 Spring Street, N.W. Atlanta, Georgia 30303 <i>Southern Legislative Research Council</i>	360,500		176,000	184,500
Southwest Voter Registration Education Project 201 North St. Mary's Street San Antonio, Texas 78205 <i>Research activities</i>	193,650		88,900	104,750
Stanford University Stanford, California 94305 <i>Research on U.S.-Soviet crisis prevention and crisis management</i>	21,000		21,000	
Statewide Youth Advocacy 426 Powers Building Rochester, New York 14614 <i>Consortium to monitor New York State compensatory and remedial education programs — \$208,100 (1982)</i>		107,700	107,700	
Teachers College, Columbia University New York, New York 10027 <i>Research on the history of American education — \$197,736 (1973)</i>		133,736		133,736
<i>Research and writing on the historical role of Carnegie Corporation of New York — \$86,084 (1981)</i>		18,387		18,387
Texas Institute for Families 11311 Richmond, L-107 Houston, Texas 77082 <i>Programs to strengthen family life and work — \$300,000 (1980)</i>		50,000	50,000	
TransAfrica Forum 545 Eighth Street, S.E. Washington, D.C. 20003 <i>Support — \$75,000 (1981)</i>		25,000	25,000	
Tucker, Marc 1001 Connecticut Avenue, N.W. Washington, D.C. 20036 <i>Research on information technology and education</i>	25,000		25,000	
Tufts University Medford, Massachusetts 02155 <i>Research and writing on cognitive assessment and education of developmentally delayed infants</i>	46,000		46,000	
Twin Cities Public Television 1640 Como Avenue Saint Paul, Minnesota 55108				

Appropriations and payments — United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
<i>Production and dissemination of a documentary television series about American children</i>	250,000		250,000	
United States Department of Education 400 Maryland Avenue, S.W. Washington, D.C. 20202 <i>Mina Shaughnessy Scholars Program of the Fund for the Improvement of Postsecondary Education — \$250,000 (1980)</i>		53,100	29,150	23,950
United States-South Africa Leader Exchange Program 1700 17th Street, N.W. Washington, D.C. 20009 <i>Support</i>	50,000*		16,667	33,333
<i>Alan Pifer South Africa-United States Fellowships</i>	28,000*		1,000	27,000
Urban Institute 2100 M Street, N.W. Washington, D.C. 20037 <i>Study of nonprofit organizations and their relationships to government — \$300,000 (1982)</i>		225,000	150,000	75,000
Utah, University of Salt Lake City, Utah 84112 <i>HERS/West — \$177,700 (1981)</i>		62,865	62,865	
Wellesley College Wellesley, Massachusetts 02181 <i>School-Age Child-Care Project</i>	271,300		135,650	135,650
<i>Center for Research on Women — \$40,000 (1982)</i>		20,000	20,000	
Wells College Aurora, New York 13026 <i>Public Leadership Education Network — \$230,000 (1982)</i>		162,500	115,000	47,500
Western Interstate Commission for Higher Education P.O. Drawer P Boulder, Colorado 80302 <i>Expansion of regional cooperation in graduate education — \$85,000 (1982)</i>		45,400	34,420	10,980
Western Service Systems 1444 Stuart Street Denver, Colorado 80204 <i>Education advocacy in behalf of Hispanic children</i>	1,000,000		300,000	700,000

*Grant appropriated in part from international funds. See p. 101.

Appropriations and payments — United States

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
<i>Center for Hispanic School Board Members — \$150,000 (1981)</i>		75,000	75,000	
WGBH Educational Foundation 125 Western Avenue Boston, Massachusetts 02134 <i>Production of a television series on the biological sciences</i>	250,000			250,000
Yale University New Haven, Connecticut 06520 <i>Program on Non-Profit Organizations — \$300,000 (1982)</i>		240,000	60,000	180,000
Youth Project 1555 Connecticut Avenue, N.W. Washington, D.C. 20036 <i>Support — \$450,000 (1981)</i>		150,000	150,000	
Total (United States)	<u>\$11,061,510</u>	<u>\$11,270,721</u>	<u>\$12,267,017</u>	<u>\$10,065,214</u>
Studies and projects administered by the officers				
<i>Commission on college retirement</i>	\$750,000			\$750,000
<i>Consortium for the Advancement of Private Higher Education</i>	300,000	\$196,442	\$12,459	483,983
<i>Dissemination of results of Corporation grants</i>	17,156	9,630	9,986	16,800
<i>Alan Pifer South Africa-United States fellowships</i>	51,745 (28,000)			23,745
<i>Program development and evaluation fund</i>	166,028	37,323	8,165 ^a 122,620	72,566
<i>Project on an Aging Society</i>	200,000		133,127	66,873
<i>Sesquicentennial anniversary of Andrew Carnegie's birth, planning for the</i>	50,000		10,000	40,000
Total studies and projects administered by the officers	<u>\$1,506,929</u>	<u>\$243,395</u>	<u>\$296,357</u>	<u>\$1,453,967</u>

^a Cancelled: included in total payments.

Appropriations and payments — International program

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
African-American Institute 833 United Nations Plaza New York, New York 10017 <i>Africa Travel Program — \$300,000 (1980)</i>		\$150,000	\$100,000	\$50,000
<i>Program on Policy Issues in African-American Relations — \$101,300 (1982)</i>		67,966	33,334	34,632
Black Education and Research Trust 51 Commissioner Street Johannesburg 2001, South Africa <i>Support of the Council for Black Education and Research</i>	\$25,000		25,000	
Black Lawyers' Association Legal Education Centre P. O. Box 19511 Pretoria West, Transvaal South Africa <i>Support</i>	75,000			75,000
<i>Visit of black American lawyers to South Africa — \$15,000 (1982)</i>		175		175
Cape Town, University of University Private Bag Rondebosch 7700, South Africa <i>Second Carnegie Inquiry into Poverty and Development in South Africa — \$200,000 (1982)</i>	200,000	100,000	200,000	100,000
Centre for Intergroup Studies c/o University of Cape Town Rondebosch 7700, South Africa <i>Support — \$60,000 (1982)</i>		40,000	20,000	20,000
Columbia University School of Law 435 West 116th Street New York, New York 10027 <i>Comparative study of U.S. and South African constitutional law</i>	7,500			7,500
Educational Opportunities Council 42 DeVilliers Street Johannesburg 2001, South Africa <i>Coordination of foreign scholarship programs for black South Africans</i>	40,000		20,000	20,000
Ghana, University of Legon, Accra, Ghana <i>Language Centre — \$150,000 (1977)</i>		15,670	10,000	5,670
Ibadan, University of Ibadan, Nigeria <i>International Centre for Educational Evaluation — \$400,000 (1973)</i>		6,900		6,900

Appropriations and payments — International program

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
Ife, University of Ile-Ife, Nigeria <i>Institute of Education — \$290,000 (1975)</i>		164,000		164,000
Legal Resources Trust P. O. Box 9495 Johannesburg 2000, South Africa <i>Legal Resources Centre — \$180,000 (1982)</i>		100,000	60,000	40,000
Makerere University P. O. Box 7062 Kampala, Uganda <i>Program of research, curriculum revision, and staff development for primary teacher training in Uganda — \$300,000 (1971)</i>		51,000		51,000
Minnesota, University of 100 Church Street, S.E. Minneapolis, Minnesota 55455 <i>Meetings and publications in preparation for the 1985 U.N. Decade for Women conference</i>	72,000*		17,500	54,500
Nairobi, University of P. O. Box 30197 Nairobi, Kenya <i>Bureau of Educational Research — \$383,000 (1976)</i>		6,093		6,093
Okeyo, Achola Palo 61 Saxon Woods Road Scarsdale, New York 10583 <i>Explorations into the history and relationships of three national women's organizations in Kenya — \$15,000 (1982)</i>		8,000	6,000	2,000
Pan American Development Foundation 1889 F Street N.W. Washington, D.C. 20006 <i>Training of personnel of National Development Foundations in the Caribbean on credit and technical assistance for women entrepreneurs</i>	13,000		13,000	
Population Council 1 Dag Hammarskjold Plaza New York, New York 10017 <i>Development and distribution of pamphlets on income-generating projects for women in developing countries — \$30,000 (1982)</i>		15,000	15,000	

*Grant appropriated in part from U.S. funds. See p. 91.

Appropriations and payments — International program

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
Sierra Leone, University of Private Mail Bag Freetown, Sierra Leone <i>Establishment of a University planning unit — \$376,300 (1976)</i>		40,000		40,000
South Pacific, University of the P.O. Box 1168 Suva, Fiji <i>Development of Outreach Programme — \$200,000 (1978)</i>		100,000		100,000
Teachers College, Columbia University New York, New York 10027 <i>Fellowships for African educators — \$183,000 (1975)</i>		21,300	21,300	
<i>Karl W. Bigelow Memorial Lectures and publication of a related book — \$11,000 (1982)</i>		5,000		5,000
United States-South Africa Leader Exchange Program 1717 Massachusetts Ave., N.W. Washington, D.C. 20036 <i>Support</i>	50,000*		16,667	33,333
<i>Joint meeting of the American and South African members of the USSALEP management committee</i>	15,000		15,000	
<i>Alan Pifer South Africa-United States Fellowships</i>	28,000*		1,000	27,000
West Indies, University of the Mona, Kingston 7, Jamaica <i>Preparation of a text on women in the Caribbean</i>	22,100		22,100	
<i>Women and Development Unit — \$200,000 (1982)</i>		150,000	100,000	50,000
Witwatersrand, University of the 1 Jan Smuts Avenue Johannesburg 2001, South Africa <i>Centre for Applied Legal Studies</i>	153,500		56,800	96,700
<i>\$125,000 (1978)</i>		1,867		1,867
<i>\$300,000 (1980)</i>		55,000	55,000	
Yale University New Haven, Connecticut 06520 <i>Conference on U.S. Firms in South Africa: Responsibilities, Risks, and Opportunities — \$6,000 (1982)</i>		6,000	6,000	

*Grant appropriated in part from U.S. funds. See p. 97.

Appropriations and payments — International program

Recipient and/or purpose	Allocated or appropriated during year	Unpaid at beginning of year	Paid during year	Unpaid at end of year
Zimbabwe, University of P. O. Box M.P. 167, Mount Pleasant Harare, Zimbabwe <i>Staff recruitment and development — \$50,000 (1982)</i>	<u>50,000</u>	<u>50,000</u>	<u>30,868</u>	<u>19,132</u>
Total (International program)	<u>\$701,100</u>	<u>\$1,153,971</u>	<u>\$844,569</u>	<u>\$1,010,502</u>
Studies and projects administered by the officers				
<i>Institutes of education in African universities — \$58,000 (1972)</i>		\$3,014	\$3,014 ^a	
<i>Alan Pifer South Africa-United States fellowships</i>	\$51,745 (28,000)			\$23,745
<i>Program development and evaluation fund</i>		<u>5,255</u>	<u>1,305^a 3,950</u>	
Total studies and projects administered by the officers	<u>\$23,745</u>	<u>\$8,269</u>	<u>\$8,269</u>	<u>\$23,745</u>

^a *Cancelled: included in total payments.*

Adjustments of grant appropriations (United States)

<i>Not required: cancelled (listed above)</i>	\$36,723
<i>Refunds from grants made in prior years</i>	
1931–32 <i>Encyclopedia of the Social Sciences (B915)</i>	81
1975–76 <i>University of Michigan (B3901)</i>	7,985
1978–79 <i>Carnegie Council on Children (B4107)</i>	2,540
1979–80 <i>University of California, Berkeley (B4164)</i>	<u>35</u>
	<u>\$47,364</u>

Adjustments of grant appropriations (International program)

<i>Not required: cancelled (listed above)</i>	\$4,319
<i>Refunds from grants made in prior years</i>	
1976–77 <i>African American Institute (B3972)</i>	9,652
1980–81 <i>University of Zimbabwe (B4330)</i>	<u>868</u>
	<u>\$14,839</u>

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The Carnegie philanthropies

Andrew Carnegie was born in Scotland in 1835. He came to the United States with his family in 1848 and went to work as a bobbin boy in a cotton mill. After a succession of jobs with Western Union and the Pennsylvania Railroad, he eventually resigned to establish his own business enterprises and, finally, the Carnegie Steel Company which launched the huge steel industry in Pittsburgh. At the age of 65 he sold the Company and devoted the rest of his life to writing, including his autobiography, and to philanthropic activities, intending to give away \$300 million. He gave away \$311 million.

Gifts to hundreds of communities in the English-speaking world helped to make his idea of the free public library as the people's university a reality. In all, 2,509 libraries were built with Carnegie funds. His endowment of the Carnegie Institute in Pittsburgh brought important educational and cultural benefits to the community in which he made his fortune. From experience he knew the importance of science applied to commerce and industry, and he provided for technical training through the Carnegie Institute of Technology. By establishing the Carnegie Institution of Washington he helped to stimulate the growth of knowledge through providing facilities for basic research in science.

Mr. Carnegie set up the Carnegie Trust for the University of Scotland to assist needy students in promoting research in science, medicine, and the humanities. For the betterment of social conditions in his native town of Dunfermline, Scotland, he set up the Carnegie Dunfermline Trust. To improve the well-being of the people of Great Britain and Ireland, he established the Carnegie United Kingdom Trust.

In the United States, he created The Carnegie Foundation for the Advancement of Teaching primarily as a pension fund for college teachers and also to promote the cause of higher education. To work for the abolition of war, he established the Carnegie Endowment for International Peace; and to recognize heroism in the peaceful walks of life as being as worthy as valor in battle, he created funds in the United States, the United Kingdom, and nine European countries to make awards for acts of heroism. In contributing to the construction of the Peace Palace at The Hague, the Pan American Union building in Washington, and the Central American Court of Justice in Costa Rica, he further expressed his belief in arbitration and conciliation as substitutes for war.

In 1911, having worked steadily at his task of giving away one of the world's great fortunes, Mr. Carnegie created Carnegie Corporation of New York, a separate foundation as large as all his other trusts combined.

Each of the Carnegie agencies has its own funds and trustees and each is independently managed.

The following statements are set forth in accordance with section 6056 of the United States Internal Revenue Code, pursuant to which this annual report has been prepared:

- Carnegie Corporation of New York (employer identification number 13-1628151) is a private foundation within the meaning of section 509(a) of the Internal Revenue Code.
- The names and respective business addresses of the "foundation managers" of the Corporation are set forth in the front section of this annual report.
- No person who is a "foundation manager" with respect to the Corporation has made any contribution to the Corporation in any taxable year.
- At no time during the year did the Corporation (together with other "disqualified persons") own more than 2 percent of the stock of any corporation or corresponding interests in partnerships or other entities.
- Pursuant to section 6104(d) of the Internal Revenue Code, a notice has been published that this annual report is available for public inspection at the principal office of the Corporation. A copy of this report has been furnished to the Attorney General of the State of New York.

May 15, 1984

DAVID A. HAMBURG, President

